

Checklist for Assessment Agency Guidelines

CHECKLIST - Recognition of ASSESSMENT AGENCIES			
S.No	Information Category	Documents to be submitted	Whether Submitted (Yes/ No)
1	Basic details of organization as per part A of the Annexure	Information as sought in the template	
2	Legal Status	Certificate of Registration	
i			
ii		Article of Incorporation	
iii		Society Deed Agreement or NGO Registration Certificate issued by respective State	
iv		Copy of the consortium agreement (Letter of Intent or Memorandum of Understanding) with a clear mention of the lead partner.	
v		Power of Attorney for Lead Member of Consortium	
vi		Permanent Account Number (PAN) & Goods and Services Tax (GST) registration details	
vii		Self-declaration Affidavit by Authorized Person that the organization has not been blacklisted/defaulted with any India/Foreign Entity in the AA guidelines/Not involved in training process	
viii		For international agencies - a. Mutual Agreement copy with Indian partner firm b. Shareholder Agreement with Indian partner firm c. Permission from Ministry of Home Affairs and evidence of separate bank account for foreign funds (FCRA)	
3	Financial Viability	Annual Report and Audited financial statements along with Audit Report of the entity, duly certified by the Chartered Accountant and filed with the Income Tax Authorities for preceding 3 financial years from the date of application	
i			
ii		Income tax returns for preceding 3 financial years of the entity preceding 3 financial years from the date of application	

iii		Minimum account balance certificate from the public/ private sector bank	
4	i Prior Experience	Work orders of conducting assessments, as per the numbers indicated in Section 5.3 of the guidelines, in accordance with the classification of States (Annexure IX), from relevant agencies such as state and/or central government or their agencies, reputed bilateral/ multilateral agencies, and/or for large and reputed public limited companies, private companies, large and/or reputed non-profit organizations, scheduled commercial banks etc. and/or Relevant experience certificates and/or record of experience of assessing the modules pertaining to vocational skills courses/ modules notified by NCVET/SCVT/Sector Skills Council or recognized by any state or central government, as per the numbers indicated in Section 5.3 of the guidelines, in accordance with the classification of States (Annexure IX) and/or Terms of associations with awarding bodies for carrying out the activities mentioned in the work orders/experience certificates, as per the numbers indicated in Section 5.3 of the guidelines, in accordance with the classification of States (Annexure IX)	
ii		Self-Declaration affidavit by Head of the organization on number of assessments carried out by them under different schemes	
5 i		Letter of engagement of subject matter experts pertaining to the qualifications/ sector that the recognition is being sought for.	
ii	ii Sectoral Credibility and Industry Linkages	Letter of engagement of assessors/examiner and proctors with credentials matched with sector/ qualifications that the agency is seeking recognition for	
iii		Letter of engagement or work contracts of local assessors/examiner in the geographical region/s with necessary qualifications and proficiency in vernacular languages for which the recognition is being sought	

iv		Self-declaration of the presence of assessment tools being available in the local languages of the areas in which the recognition is being sought	
v		Self-declaration on the number of assessments being carried out in the sector and/or geography in which recognition is sought	
vi		For expansion of sector/geography not covered by the initial recognition all above evidences may be provided except self-declaration on the number of assessments	
6 i	Infrastructure and Accessible Assessment Tools	Lease agreement of at least 3 years of the premises Or ownership documents like registered conveyance deed or sales deed for the premises	
ii		Google Map snapshot showing location of organization's premise and allied transport connectivity	
iii		Address proof for the premises -Copy of internet/telephone bill, not older than 3 months	
iv		URL of functional website with contact details of key functionaries and other stipulations as mentioned in the AA guidelines Section 5.6.a.ii	
v		Minutes of the consultations held with industries and associations to design the assessment strategy for their greater participation in assessment process	
vi		Self-declaration by the head of the organisation on the availability of assessments tools including ICT tools for assessment and monitoring as mentioned in AA Guidelines Section 5.6.b	
vii		Self-declaration of availability of special instructors and assessment tools amiable to the needs of the PwD	

7	Comprehensive Business Plan	<p>Comprehensive Business Plan document mentioning the following details must be submitted by the organization:</p> <ul style="list-style-type: none"> ▪ 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 <p>Proposed monitoring and evaluation framework and risk mitigation strategies</p>	
8 i	Governance and Manpower	Copy of Organogram	
ii		Internal audit reports signed by the Board	
iii		Engagement letter of Head of the Organisation delineating roles & responsibilities, tenure, and undertaking that there is no criminal case against the head.	
iv		Copy of electricity or telephone bill mentioning residential address of the Head of the Organisation	
v		Conflict of interest policy and mitigation mechanisms	
vi		Signed Declaration by assessor that there is no conflict of interest	
vii		Letters of engagement of key staff members across states and sectors and SOP highlighting recruitment, training, deployment and performance evaluation mechanisms for them	
viii		Proof of allowance/allocated budget for Continuous Professional Development (CPD)	
ix		<p>Copies of Standard Operating Procedures for the following:</p> <ul style="list-style-type: none"> ▪ Data security of learners' data ▪ HR strategy for selections and performance matrix of the assessors ▪ Internal Quality Assurance (IQA) <p>Details regarding storage of data and assessment information</p>	
9 i	Assessment Strategy & Delivery	<p>Copies of SOP for the following:</p> <ul style="list-style-type: none"> ▪ Assessment Strategy with process and timeline for creating Question Bank 	

		<ul style="list-style-type: none"> ▪ Content Development (including Question Bank) <ul style="list-style-type: none"> ▪ Assessment and Delivery processes ▪ Performance reporting and analytics ▪ Selection mechanism, eligibility criteria and training and certification of proctors and assessors ▪ Roles and responsibilities of the assessors, proctors and SME <ul style="list-style-type: none"> ▪ Declaration of internal audit to ensure quality assurance in all stages of assessment lifecycle 	
ii		Evidence of test engine or scope of work for developing test engine to deliver and monitor online and blended assessment lifecycles, with the requisite system to refresh the assessment content periodically and other stipulations as mentioned in assessment guidelines Section 5.8.e	
10	Data Management System	Copy of confidentiality policy with signed affidavits of full time and contracted staff	
i		Maintenance register and Maintenance contracts (wherever applicable)	
ii		<p>Documented SOP for Availability of tools and software for data collection and data</p> <ul style="list-style-type: none"> • Monitoring of IT equipment • Security of information pertaining to learners' details including results 	
iii		Self- Declaration/Affidavit for compliance to data protection norms of the Government of India	
iv			
11	Appeals and Grievance Redressal	<p>Copy of SOP detailing:</p> <ul style="list-style-type: none"> ▪ Process for complaint handling <p>Roles and responsibilities of those staff involved in complaint handling</p>	
i		Self-declaration affidavit for the establishment of a grievance redressal cell and policy of resolution. Provide copy of circular and other evidence wherever available.	
ii		Letter of appointment of third-party arbitrator/ legal counsel representative in the grievance redressal council	
iii			

iv		Self-declaration affidavit for establishment of a POSH committee for the organization's staff	
v		Details of helpline number	