



मध्य प्रदेश MADHYA PRADESH

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CONTRACT FOR CONSULTANT'S SERVICES

AMONGST

Directorate General of Training,  
Ministry of Skill Development & Entrepreneurship,  
Government of India

and

Indian Institute of Management Indore

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श्री. हिमंशु राय/Prof. Himanshu Rai  
निदेशक/Director  
भारतीय प्रबंध संस्थान इन्दौर  
Indian Institute of Management Indore  
प्रबंध निदेशक/Prabandh Shikhar  
राउ-पीलहामपुर रोड, इन्दौर- 453556  
Rau-Pilthampur Road, Indore- 453556  
म. प्र., भारत/M. P., India

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SMT. HARSHA GAYKWAL  
57579, Nehru Nagar, INDORE

**CONTRACT FOR CONSULTANT'S SERVICES****Lump-Sum**

**Project Name** "Conducting third party 'Independent Verification' of Disbursement Linked Indicators (DLIs) and project achievements under Skills Strengthening for Industrial Value Enhancement (STRIVE)"

**IDA Credit No.** 5965-IN

**Contract No.** \_\_\_\_\_

between

**Directorate General of Training,  
Ministry of Skill Development & Entrepreneurship,  
Government of India  
1<sup>st</sup> Floor, Kaushal Bhawan, Karol Bagh,  
New Delhi**

and

**Indian Institute of Management Indore  
Prabandh Shikhar, Rau – Pithampur Road,  
Indore**

**Dated:** 22<sup>nd</sup> May 2020

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प्रो. हिमंशु राय/Prof. Himanshu Rai  
निदेशक/Director  
भारतीय प्रबंध संस्थान इन्दौर  
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प्रबंध शिखर/Prabandh Shikhar  
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Rau-Pithampur Road, Indore- 453556  
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I.

**I. Form of Contract****LUMP-SUM**

(Text in brackets [ ] is optional; all notes should be deleted in the final text)

This CONTRACT (hereinafter called the "Contract") is made the 22<sup>nd</sup> day of May, 2020, between, on the one hand, Directorate General of Training, Ministry of Skill Development & Entrepreneurship, Government of India (hereinafter called the "Client") and, on the other hand, Indian Institute of Management Indore (hereinafter called the "Consultant").

**WHEREAS**

- (a) the Client has requested the Consultant to provide certain consulting services as defined in this Contract (hereinafter called the "Services");
- (b) the Consultant, having represented to the Client that it has the required professional skills, expertise and technical resources, has agreed to provide the Services on the terms and conditions set forth in this Contract;
- (c) the Client has received credit from the *International Development Association (IDA)* toward the cost of the Services and intends to apply a portion of the proceeds of this credit to eligible payments under this Contract, it being understood that (i) payments by the Bank will be made only at the request of the Client and upon approval by the Bank; (ii) such payments will be subject, in all respects, to the terms and conditions of the financing agreement, including prohibitions of withdrawal from the credit account for the purpose of any payment to persons or entities, or for any import of goods, if such payment or import, to the knowledge of the Bank, is prohibited by the decision of the United Nations Security Council taken under Chapter VII of the Charter of the United Nations; and (iii) no party other than the Client shall derive any rights from the financing agreement or have any claim to the credit proceeds;

NOW THEREFORE the parties hereto hereby agree as follows:

- I. The following documents attached hereto shall be deemed to form an integral part of this Contract:
  - (a) The General Conditions of Contract (including Attachment I "Bank Policy – Corrupt and Fraudulent Practices);

श्री. हिमंशु राय/Prof. Himanshu Rai  
निदेशक/Director

भारतीय प्रबंध संस्थान इन्दौर  
Indian Institute of Management Indore  
प्रबंध शिक्षा/Prabandh Shikhar  
राउ-पीथम्पुर रोड, इन्दौर- 453556  
Rau-Pithampur Road, Indore- 453556  
भ. प्र., भारत/M.P., India



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- (b) The Special Conditions of Contract;  
 (c) Appendices:

Appendix A: Terms of Reference  
 Appendix B: Key Experts  
 Appendix C: Breakdown of Contract Price  
 Appendix D: Form of Advance Payments Guarantee

In the event of any inconsistency between the documents, the following order of precedence shall prevail: the Special Conditions of Contract; the General Conditions of Contract, including Attachment 1; Appendix A; Appendix B; Appendix C; Appendix D. Any reference to this Contract shall include, where the context permits, a reference to its Appendices.

2. The mutual rights and obligations of the Client and the Consultant shall be as set forth in the Contract, in particular:
- (a) the Consultant shall carry out the Services in accordance with the provisions of the Contract; and  
 (b) the Client shall make payments to the Consultant in accordance with the provisions of the Contract.

IN WITNESS WHEREOF, the Parties hereto have caused this Contract to be signed in their respective names as of the day and year first above written.

For and on behalf of DGT, Ministry of Skill Development & Entrepreneurship



Smt. Neelam Shami Rao, DG(T) / Additional Secretary

नीलम शमी राव/Neelam Shami Rao  
 अवर सचिव/नि. /Additional Secretary/DG  
 प्रशिक्षण महानिदेशक/Director General of Training  
 कौशल विकास एवं उद्यमशीलता मंत्रालय  
 Ministry of Skill Development and Entrepreneurship  
 नई दिल्ली/India, New Delhi

For and on behalf of Indian Institute of Management Indore



Prof. Himanshu Rai, Director

प्रो. हिमांशु राव/Prof. Himanshu Rai  
 निदेशक/Director  
 भारतीय प्रबंध संस्थान इन्दौर  
 Indian Institute of Management Indore  
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 Rau-Pithampur Road, Indore- 453556  
 म.प्र., भारत/M.P., India



## II. General Conditions of Contract

### A. General Provisions

#### 1. Definitions

1.1. Unless the context otherwise requires, the following terms whenever used in this Contract have the following meanings:

- (a) "Applicable Guidelines" means Guidelines for Selection and Employment of Consultants under IBRD Loans and IDA Credits & Grants by World Bank Borrowers, dated January 2011.
- (b) "Applicable Law" means the laws and any other instruments having the force of law in the Client's country, or in such other country as may be specified in the **Special Conditions of Contract (SCC)**, as they may be issued and in force from time to time.
- (c) "Bank" means the International Bank for Reconstruction and Development (IBRD) or the International Development Association (IDA).
- (d) "Borrower" means the Government, Government agency or other entity that signs the financing agreement with the Bank.
- (e) "Client" means the implementing agency that signs the Contract for the Services with the Selected Consultant.
- (f) "Consultant" means a legally-established professional consulting firm or entity selected by the Client to provide the Services under the signed Contract.
- (g) "Contract" means the legally binding written agreement signed between the Client and the Consultant and which includes all the attached documents listed in its paragraph 1 of the Form of Contract (the General Conditions (GCC), the Special Conditions (SCC), and the Appendices).
- (h) "Day" means a working day unless indicated otherwise.
- (i) "Effective Date" means the date on which this Contract comes into force and effect pursuant to Clause GCC 11.
- (j) "Experts" means, collectively, Key Experts, Non-Key Experts, or any other personnel of the Consultant, Sub-consultant or JV member(s) assigned by the Consultant to perform the Services or any part thereof under the Contract.

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- (k) "Foreign Currency" means any currency other than the currency of the Client's country.
- (l) "GCC" means these General Conditions of Contract.
- (m) "Government" means the government of the Client's country.
- (n) "Joint Venture (JV)" means an association with or without a legal personality distinct from that of its members, of more than one entity where one member has the authority to conduct all businesses for and on behalf of any and all the members of the JV, and where the members of the JV are jointly and severally liable to the Client for the performance of the Contract.
- (o) "Key Expert(s)" means an individual professional whose skills, qualifications, knowledge and experience are critical to the performance of the Services under the Contract and whose Curricula Vitae (CV) was taken into account in the technical evaluation of the Consultant's proposal.
- (p) "Local Currency" means the currency of the Client's country.
- (q) "Non-Key Expert(s)" means an individual professional provided by the Consultant or its Sub-consultant to perform the Services or any part thereof under the Contract.
- (r) "Party" means the Client or the Consultant, as the case may be, and "Parties" means both of them.
- (s) "SCC" means the Special Conditions of Contract by which the GCC may be amended or supplemented but not over-written.
- (t) "Services" means the work to be performed by the Consultant pursuant to this Contract, as described in Appendix A hereto.
- (u) "Sub-consultants" means an entity to whom/which the Consultant subcontracts any part of the Services while remaining solely liable for the execution of the Contract.
- (v) "Third Party" means any person or entity other than the Government, the Client, the Consultant or a Sub-consultant.

## 2. Relationship between the Parties

2.1. Nothing contained herein shall be construed as establishing a relationship of master and servant or of principal and agent as between the Client and the Consultant. The Consultant, subject to this Contract, has complete charge of the Experts and Sub-consultants, if any, performing the Services and shall be fully responsible for the Services performed by them or on their behalf hereunder.





- 3. Law Governing Contract** 3.1. This Contract, its meaning and interpretation, and the relation between the Parties shall be governed by the Applicable Law.
- 4. Language** 4.1. This Contract has been executed in the language specified in the SCC, which shall be the binding and controlling language for all matters relating to the meaning or interpretation of this Contract.
- 5. Headings** 5.1. The headings shall not limit, alter or affect the meaning of this Contract.
- 6. Communications** 6.1. Any communication required or permitted to be given or made pursuant to this Contract shall be in writing in the language specified in Clause GCC 4. Any such notice, request or consent shall be deemed to have been given or made when delivered in person to an authorized representative of the Party to whom the communication is addressed, or when sent to such Party at the address specified in the SCC.
- 6.2. A Party may change its address for notice hereunder by giving the other Party any communication of such change to the address specified in the SCC.
- 7. Location** 7.1. The Services shall be performed at such locations as are specified in **Appendix A** hereto and, where the location of a particular task is not so specified, at such locations, whether in the Government's country or elsewhere, as the Client may approve.
- 8. Authority of Member in Charge** 8.1. In case the Consultant is a Joint Venture, the members hereby authorize the member specified in the SCC to act on their behalf in exercising all the Consultant's rights and obligations towards the Client under this Contract, including without limitation the receiving of instructions and payments from the Client.
- 9. Authorized Representatives** 9.1. Any action required or permitted to be taken, and any document required or permitted to be executed under this Contract by the Client or the Consultant may be taken or executed by the officials specified in the SCC.
- 10. Corrupt and Fraudulent Practices** 10.1. The Bank requires compliance with its policy in regard to corrupt and fraudulent practices as set forth in **Attachment 1** to the GCC.
- a. **Commissions and Fees** 10.2. The Client requires the Consultant to disclose any commissions, gratuities or fees that may have been paid or are to be paid to agents or any other party with respect to the selection process or execution of the Contract. The information disclosed must include at least the name and address of the agent or other party, the amount and currency, and the purpose of the commission, gratuity or

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fee. Failure to disclose such commissions, gratuities or fees may result in termination of the Contract and/or sanctions by the Bank.

## B. Commencement, Completion, Modification and Termination of Contract

- 11. Effectiveness of Contract** 11.1. This Contract shall come into force and effect on the date (the "Effective Date") of the Client's notice to the Consultant instructing the Consultant to begin carrying out the Services. This notice shall confirm that the effectiveness conditions, if any, listed in the SCC have been met.
- 12. Termination of Contract for Failure to Become Effective** 12.1. If this Contract has not become effective within such time period after the date of Contract signature as specified in the SCC, either Party may, by not less than twenty two (22) days written notice to the other Party, declare this Contract to be null and void, and in the event of such a declaration by either Party, neither Party shall have any claim against the other Party with respect hereto.
- 13. Commencement of Services** 13.1. The Consultant shall confirm availability of Key Experts and begin carrying out the Services not later than the number of days after the Effective Date specified in the SCC.
- 14. Expiration of Contract** 14.1. Unless terminated earlier pursuant to Clause GCC 19 hereof, this Contract shall expire at the end of such time period after the Effective Date as specified in the SCC.
- 15. Entire Agreement** 15.1. This Contract contains all covenants, stipulations and provisions agreed by the Parties. No agent or representative of either Party has authority to make, and the Parties shall not be bound by or be liable for, any statement, representation, promise or agreement not set forth herein.
- 16. Modifications or Variations** 16.1. Any modification or variation of the terms and conditions of this Contract, including any modification or variation of the scope of the Services, may only be made by written agreement between the Parties. However, each Party shall give due consideration to any proposals for modification or variation made by the other Party.
- 16.2. In cases of substantial modifications or variations, the prior written consent of the Bank is required.
- 17. Force Majeure**
- a. Definition** 17.1. For the purposes of this Contract, "Force Majeure" means an event which is beyond the reasonable control of a Party, is not foreseeable, is unavoidable, and makes a Party's performance of its obligations hereunder impossible or so impractical as reasonably to be considered impossible under the circumstances, and subject to

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those requirements, includes, but is not limited to, war, riots, civil disorder, earthquake, fire, explosion, storm, flood or other adverse weather conditions, strikes, lockouts or other industrial action confiscation or any other action by Government agencies.

17.2. Force Majeure shall not include (i) any event which is caused by the negligence or intentional action of a Party or such Party's Experts, Sub-consultants or agents or employees, nor (ii) any event which a diligent Party could reasonably have been expected to both take into account at the time of the conclusion of this Contract, and avoid or overcome in the carrying out of its obligations hereunder.

17.3. Force Majeure shall not include insufficiency of funds or failure to make any payment required hereunder.

**b. No Breach of Contract**

17.4. The failure of a Party to fulfill any of its obligations hereunder shall not be considered to be a breach of, or default under, this Contract insofar as such inability arises from an event of Force Majeure, provided that the Party affected by such an event has taken all reasonable precautions, due care and reasonable alternative measures, all with the objective of carrying out the terms and conditions of this Contract.

**c. Measures to be Taken**

17.5. A Party affected by an event of Force Majeure shall continue to perform its obligations under the Contract as far as is reasonably practical, and shall take all reasonable measures to minimize the consequences of any event of Force Majeure.

17.6. A Party affected by an event of Force Majeure shall notify the other Party of such event as soon as possible, and in any case not later than fourteen (14) calendar days following the occurrence of such event, providing evidence of the nature and cause of such event, and shall similarly give written notice of the restoration of normal conditions as soon as possible.

17.7. Any period within which a Party shall, pursuant to this Contract, complete any action or task, shall be extended for a period equal to the time during which such Party was unable to perform such action as a result of Force Majeure.

17.8. During the period of their inability to perform the Services as a result of an event of Force Majeure, the Consultant, upon instructions by the Client, shall either:

- (a) demobilize, in which case the Consultant shall be reimbursed for additional costs they reasonably and necessarily incurred, and, if required by the Client, in reactivating the Services; or

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- (b) continue with the Services to the extent reasonably possible, in which case the Consultant shall continue to be paid under the terms of this Contract and be reimbursed for additional costs reasonably and necessarily incurred.

17.9. In the case of disagreement between the Parties as to the existence or extent of Force Majeure, the matter shall be settled according to Clauses GCC 44 & 45.

## 18. Suspension

18.1. The Client may, by written notice of suspension to the Consultant, suspend all payments to the Consultant hereunder if the Consultant fails to perform any of its obligations under this Contract, including the carrying out of the Services, provided that such notice of suspension (i) shall specify the nature of the failure, and (ii) shall request the Consultant to remedy such failure within a period not exceeding thirty (30) calendar days after receipt by the Consultant of such notice of suspension.

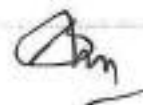
## 19. Termination

19.1. This Contract may be terminated by either Party as per provisions set up below:

### a. By the Client

19.1.1. The Client may terminate this Contract in case of the occurrence of any of the events specified in paragraphs (a) through (f) of this Clause. In such an occurrence the Client shall give at least thirty (30) calendar days' written notice of termination to the Consultant in case of the events referred to in (a) through (d); at least sixty (60) calendar days' written notice in case of the event referred to in (e); and at least five (5) calendar days' written notice in case of the event referred to in (f):

- (a) If the Consultant fails to remedy a failure in the performance of its obligations hereunder, as specified in a notice of suspension pursuant to Clause GCC 18;
- (b) If the Consultant becomes (or, if the Consultant consists of more than one entity, if any of its members becomes) insolvent or bankrupt or enter into any agreements with their creditors for relief of debt or take advantage of any law for the benefit of debtors or go into liquidation or receivership whether compulsory or voluntary;
- (c) If the Consultant fails to comply with any final decision reached as a result of arbitration proceedings pursuant to Clause GCC 45.1;
- (d) If, as the result of Force Majeure, the Consultant is unable to perform a material portion of the Services for a



period of not less than sixty (60) calendar days;

- (e) If the Client, in its sole discretion and for any reason whatsoever, decides to terminate this Contract;
- (f) If the Consultant fails to confirm availability of Key Experts as required in Clause GCC 13.

19.1.2. Furthermore, if the Client determines that the Consultant has engaged in corrupt, fraudulent, collusive, coercive or obstructive practices, in competing for or in executing the Contract, then the Client may, after giving fourteen (14) calendar days written notice to the Consultant, terminate the Consultant's employment under the Contract.

**b. By the Consultant**

19.1.3. The Consultant may terminate this Contract, by not less than thirty (30) calendar days' written notice to the Client, in case of the occurrence of any of the events specified in paragraphs (a) through (d) of this Clause.

- (a) If the Client fails to pay any money due to the Consultant pursuant to this Contract and not subject to dispute pursuant to Clause GCC 45.1 within forty-five (45) calendar days after receiving written notice from the Consultant that such payment is overdue.
- (b) If, as the result of Force Majeure, the Consultant is unable to perform a material portion of the Services for a period of not less than sixty (60) calendar days.
- (c) If the Client fails to comply with any final decision reached as a result of arbitration pursuant to Clause GCC 45.1.
- (d) If the Client is in material breach of its obligations pursuant to this Contract and has not remedied the same within forty-five (45) days (or such longer period as the Consultant may have subsequently approved in writing) following the receipt by the Client of the Consultant's notice specifying such breach.

**c. Cessation of Rights and Obligations**

19.1.4. Upon termination of this Contract pursuant to Clauses GCC 12 or GCC 19 hereof, or upon expiration of this Contract pursuant to Clause GCC 14, all rights and obligations of the Parties hereunder shall cease, except (i) such rights and obligations as may have accrued on the date of termination or expiration, (ii) the obligation of confidentiality set forth in Clause GCC 22, (iii) the Consultant's obligation to permit inspection, copying and auditing of their accounts and records

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set forth in Clause GCC 25, and (iv) any right which a Party may have under the Applicable Law.

**d. Cessation of Services**

19.1.5. Upon termination of this Contract by notice of either Party to the other pursuant to Clauses GCC 19a or GCC 19b, the Consultant shall, immediately upon dispatch or receipt of such notice, take all necessary steps to bring the Services to a close in a prompt and orderly manner and shall make every reasonable effort to keep expenditures for this purpose to a minimum. With respect to documents prepared by the Consultant and equipment and materials furnished by the Client, the Consultant shall proceed as provided, respectively, by Clauses GCC 27 or GCC 28.

**c. Payment upon Termination**

19.1.6. Upon termination of this Contract, the Client shall make the following payments to the Consultant:

- (a) payment for Services satisfactorily performed prior to the effective date of termination; and
- (b) in the case of termination pursuant to paragraphs (d) and (e) of Clause GCC 19.1.1, reimbursement of any reasonable cost incidental to the prompt and orderly termination of this Contract, including the cost of the return travel of the Experts.

## C. Obligations of the Consultant

### 20. General

**a. Standard of Performance**

20.1 The Consultant shall perform the Services and carry out the Services with all due diligence, efficiency and economy, in accordance with generally accepted professional standards and practices, and shall observe sound management practices, and employ appropriate technology and safe and effective equipment, machinery, materials and methods. The Consultant shall always act, in respect of any matter relating to this Contract or to the Services, as a faithful adviser to the Client, and shall at all times support and safeguard the Client's legitimate interests in any dealings with the third parties.

20.2. The Consultant shall employ and provide such qualified and experienced Experts and Sub-consultants as are required to carry out the Services.

20.3. The Consultant may subcontract part of the Services to an extent and with such Key Experts and Sub-consultants as may be approved in advance by the Client. Notwithstanding such approval,

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the Consultant shall retain full responsibility for the Services.

**b. Law  
Applicable to  
Services**

20.4. The Consultant shall perform the Services in accordance with the Contract and the Applicable Law and shall take all practicable steps to ensure that any of its Experts and Sub-consultants, comply with the Applicable Law.

20.5. Throughout the execution of the Contract, the Consultant shall comply with the import of goods and services prohibitions in the Client's country when

- (a) as a matter of law or official regulations, the Borrower's country prohibits commercial relations with that country; or
- (b) by an act of compliance with a decision of the United Nations Security Council taken under Chapter VII of the Charter of the United Nations, the Borrower's Country prohibits any import of goods from that country or any payments to any country, person, or entity in that country.

20.6. The Client shall notify the Consultant in writing of relevant local customs, and the Consultant shall, after such notification, respect such customs.

**21. Conflict of  
Interests**

21.1. The Consultant shall hold the Client's interests paramount, without any consideration for future work, and strictly avoid conflict with other assignments or their own corporate interests.

**a. Consultant  
Not to Benefit  
from  
Commissions,  
Discounts, etc.**

21.1.1 The payment of the Consultant pursuant to GCC F (Clauses GCC 38 through 42) shall constitute the Consultant's only payment in connection with this Contract and, subject to Clause GCC 21.1.3, the Consultant shall not accept for its own benefit any trade commission, discount or similar payment in connection with activities pursuant to this Contract or in the discharge of its obligations hereunder, and the Consultant shall use its best efforts to ensure that any Sub-consultants, as well as the Experts and agents of either of them, similarly shall not receive any such additional payment.

21.1.2 Furthermore, if the Consultant, as part of the Services, has the responsibility of advising the Client on the procurement of goods, works or services, the Consultant shall comply with the Bank's Applicable Guidelines, and shall at all times exercise such responsibility in the best interest of the Client. Any discounts or commissions obtained by the Consultant in the exercise of such procurement responsibility shall be for the account of the Client.

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- b. Consultant and Affiliates Not to Engage in Certain Activities**
- 21.1.3 The Consultant agrees that, during the term of this Contract and after its termination, the Consultant and any entity affiliated with the Consultant, as well as any Sub-consultants and any entity affiliated with such Sub-consultants, shall be disqualified from providing goods, works or non-consulting services resulting from or directly related to the Consultant's Services for the preparation or implementation of the project, unless otherwise indicated in the SCC.
- c. Prohibition of Conflicting Activities**
- 21.1.4 The Consultant shall not engage, and shall cause its Experts as well as its Sub-consultants not to engage, either directly or indirectly, in any business or professional activities that would conflict with the activities assigned to them under this Contract.
- d. Strict Duty to Disclose Conflicting Activities**
- 21.1.5 The Consultant has an obligation and shall ensure that its Experts and Sub-consultants shall have an obligation to disclose any situation of actual or potential conflict that impacts their capacity to serve the best interest of their Client, or that may reasonably be perceived as having this effect. Failure to disclose said situations may lead to the disqualification of the Consultant or the termination of its Contract.

- 22. Confidentiality**
- 22.1 Except with the prior written consent of the Client, the Consultant and the Experts shall not at any time communicate to any person or entity any confidential information acquired in the course of the Services, nor shall the Consultant and the Experts make public the recommendations formulated in the course of, or as a result of, the Services.
- 23. Liability of the Consultant**
- 23.1 Subject to additional provisions, if any, set forth in the SCC, the Consultant's liability under this Contract shall be provided by the Applicable Law.
- 24. Insurance to be Taken out by the Consultant**
- 24.1 The Consultant (i) shall take out and maintain, and shall cause any Sub-consultants to take out and maintain, at its (or the Sub-consultants', as the case may be) own cost but on terms and conditions approved by the Client, insurance against the risks, and for the coverage specified in the SCC, and (ii) at the Client's request, shall provide evidence to the Client showing that such insurance has been taken out and maintained and that the current premiums therefore have been paid. The Consultant shall ensure that such insurance is in place prior to commencing the Services as stated in Clause GCC 13.
- 25. Accounting, Inspection and**
- 25.1 The Consultant shall keep, and shall make all reasonable efforts to cause its Sub-consultants to keep, accurate and systematic



**Auditing**

accounts and records in respect of the Services and in such form and detail as will clearly identify relevant time changes and costs.

25.2 The Consultant shall permit and shall cause its Sub-consultants to permit, the Bank and/or persons appointed by the Bank to inspect the Site and/or all accounts and records relating to the performance of the Contract and the submission of the Proposal to provide the Services, and to have such accounts and records audited by auditors appointed by the Bank if requested by the Bank. The Consultant's attention is drawn to Clause GCC 10 which provides, inter alia, that acts intended to materially impede the exercise of the Bank's inspection and audit rights provided for under this Clause GCC25.2 constitute a prohibited practice subject to contract termination (as well as to a determination of ineligibility under the Bank's prevailing sanctions procedures.)

**26. Reporting Obligations**

26.1 The Consultant shall submit to the Client the reports and documents specified in **Appendix A**, in the form, in the numbers and within the time periods set forth in the said Appendix.

**27. Proprietary Rights of the Client in Reports and Records**

27.1 Unless otherwise indicated in the SCC, all reports and relevant data and information such as maps, diagrams, plans, databases, other documents and software, supporting records or material compiled or prepared by the Consultant for the Client in the course of the Services shall be confidential and become and remain the absolute property of the Client. The Consultant shall, not later than upon termination or expiration of this Contract, deliver all such documents to the Client, together with a detailed inventory thereof. The Consultant may retain a copy of such documents, data and/or software but shall not use the same for purposes unrelated to this Contract without prior written approval of the Client.

27.2 If license agreements are necessary or appropriate between the Consultant and third parties for purposes of development of the plans, drawings, specifications, designs, databases, other documents and software, the Consultant shall obtain the Client's prior written approval to such agreements, and the Client shall be entitled at its discretion to require recovering the expenses related to the development of the program(s) concerned. Other restrictions about the future use of these documents and software, if any, shall be specified in the SCC.

**28. Equipment, Vehicles and Materials**

28.1 Equipment, vehicles and materials made available to the Consultant by the Client, or purchased by the Consultant wholly or partly with funds provided by the Client, shall be the property of the Client and shall be marked accordingly. Upon termination or expiration of this Contract, the Consultant shall make available to the Client an inventory of such equipment, vehicles and materials and shall dispose of such equipment, vehicles and materials in accordance



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ए.प्र., भारत/M.P., India



with the Client's instructions. While in possession of such equipment, vehicles and materials, the Consultant, unless otherwise instructed by the Client in writing, shall insure them at the expense of the Client in an amount equal to their full replacement value.

28.2 Any equipment or materials brought by the Consultant or its Experts into the Client's country for the use either for the project or personal use shall remain the property of the Consultant or the Experts concerned, as applicable.

#### D. Consultant's Experts and Sub-Consultants

- 29. Description of Key Experts** 29.1 The title, agreed job description, minimum qualification and estimated period of engagement to carry out the Services of each of the Consultant's Key Experts are described in **Appendix B**.
- 30. Replacement of Key Experts** 30.1 Except as the Client may otherwise agree in writing, no changes shall be made in the Key Experts.
- 30.2 Notwithstanding the above, the substitution of Key Experts during Contract execution may be considered only based on the Consultant's written request and due to circumstances outside the reasonable control of the Consultant, including but not limited to death or medical incapacity. In such case, the Consultant shall forthwith provide as a replacement, a person of equivalent or better qualifications and experience, and at the same rate of remuneration.
- 31. Removal of Experts or Sub-consultants** 31.1 If the Client finds that any of the Experts or Sub-consultant has committed serious misconduct or has been charged with having committed a criminal action, or shall the Client determine that Consultant's Expert or Sub-consultant have engaged in corrupt, fraudulent, collusive, coercive or obstructive practice while performing the Services, the Consultant shall, at the Client's written request, provide a replacement.
- 31.2 In the event that any of Key Experts, Non-Key Experts or Sub-consultants is found by the Client to be incompetent or incapable in discharging assigned duties, the Client, specifying the grounds therefore, may request the Consultant to provide a replacement.
- 31.3 Any replacement of the removed Experts or Sub-consultants shall possess better qualifications and experience and shall be acceptable to the Client.
- 31.4 The Consultant shall bear all costs arising out of or incidental to any removal and/or replacement of such Experts.



## E. Obligations of the Client

### 32. Assistance and Exemptions

32.1 Unless otherwise specified in the SCC, the Client shall use its best efforts to:

- (a) Assist the Consultant with obtaining work permits and such other documents as shall be necessary to enable the Consultant to perform the Services.
- (b) Assist the Consultant with promptly obtaining, for the Experts and, if appropriate, their eligible dependents, all necessary entry and exit visas, residence permits, exchange permits and any other documents required for their stay in the Client's country while carrying out the Services under the Contract.
- (c) Facilitate prompt clearance through customs of any property required for the Services and of the personal effects of the Experts and their eligible dependents.
- (c) Issue to officials, agents and representatives of the Government all such instructions and information as may be necessary or appropriate for the prompt and effective implementation of the Services.
- (d) Assist the Consultant and the Experts and any Sub-consultants employed by the Consultant for the Services with obtaining exemption from any requirement to register or obtain any permit to practice their profession or to establish themselves either individually or as a corporate entity in the Client's country according to the applicable law in the Client's country.
- (e) Assist the Consultant, any Sub-consultants and the Experts of either of them with obtaining the privilege, pursuant to the applicable law in the Client's country, of bringing into the Client's country reasonable amounts of foreign currency for the purposes of the Services or for the personal use of the Experts and of withdrawing any such amounts as may be earned therein by the Experts in the execution of the Services.
- (f) Provide to the Consultant any such other assistance as may be specified in the SCC.

### 33. Access to Project Site

33.1 The Client warrants that the Consultant shall have, free of charge, unimpeded access to the project site in respect of which access is required for the performance of the Services. The Client will be responsible for any damage to the project site or any property thereon resulting from such access and will indemnify the Consultant and each of the experts in respect of liability for any such damage, unless such damage is caused by the willful default or negligence of

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- the Consultant or any Sub-consultants or the Experts of either of them.
- 34. Change in the Applicable Law Related to Taxes and Duties**
- 34.1 If, after the date of this Contract, there is any change in the applicable law in the Client's country with respect to taxes and duties which increases or decreases the cost incurred by the Consultant in performing the Services, then the remuneration and reimbursable expenses otherwise payable to the Consultant under this Contract shall be increased or decreased accordingly by agreement between the Parties hereto, and corresponding adjustments shall be made to the Contract price amount specified in Clause GCC 38.1
- 35. Services, Facilities and Property of the Client**
- 35.1 The Client shall make available to the Consultant and the Experts, for the purposes of the Services and free of any charge, the services, facilities and property described in the Terms of Reference (**Appendix A**) at the times and in the manner specified in said **Appendix A**.
- 36. Counterpart Personnel**
- 36.1 The Client shall make available to the Consultant free of charge such professional and support counterpart personnel, to be nominated by the Client with the Consultant's advice, if specified in **Appendix A**.
- 36.2 Professional and support counterpart personnel, excluding Client's liaison personnel, shall work under the exclusive direction of the Consultant. If any member of the counterpart personnel fails to perform adequately any work assigned to such member by the Consultant that is consistent with the position occupied by such member, the Consultant may request the replacement of such member, and the Client shall not unreasonably refuse to act upon such request.
- 37. Payment Obligation**
- 37.1 In consideration of the Services performed by the Consultant under this Contract, the Client shall make such payments to the Consultant for the deliverables specified in **Appendix A** and in such manner as is provided by GCC F below.
- F. Payments to the Consultant**
- 38. Contract Price**
- 38.1 The Contract price is fixed and is set forth in the SCC. The Contract price breakdown is provided in **Appendix C**.
- 38.2 Any change to the Contract price specified in Clause 38.1 can be made only if the Parties have agreed to the revised scope of Services pursuant to Clause GCC 16 and have amended in writing the Terms of Reference in **Appendix A**.



- 39. Taxes and Duties**
- 39.1 The Consultant, Sub-consultants and Experts are responsible for meeting any and all tax liabilities arising out of the Contract unless it is stated otherwise in the SCC.
- 39.2 As an exception to the above and as stated in the SCC, all local identifiable indirect taxes (itemized and finalized at Contract negotiations) are reimbursed to the Consultant or are paid by the Client on behalf of the Consultant.
- 40. Currency of Payment**
- 40.1 Any payment under this Contract shall be made in the currency(ies) of the Contract.
- 41. Mode of Billing and Payment**
- 41.1 The total payments under this Contract shall not exceed the Contract price set forth in Clause GCC 38.1.
- 41.2 The payments under this Contract shall be made in lump-sum installments against deliverables specified in **Appendix A**. The payments will be made according to the payment schedule stated in the SCC.
- 41.2.1 *Advance payment:* Unless otherwise indicated in the SCC, an advance payment shall be made against an advance payment bank guarantee acceptable to the Client in an amount (or amounts) and in a currency (or currencies) specified in the SCC. Such guarantee (i) is to remain effective until the advance payment has been fully set off, and (ii) is to be in the form set forth in **Appendix D**, or in such other form as the Client shall have approved in writing. The advance payments will be set off by the Client in equal portions against the lump-sum installments specified in the SCC until said advance payments have been fully set off.
- 41.2.2 *The Lump-Sum Installment Payments.* The Client shall pay the Consultant within sixty (60) days after the receipt by the Client of the deliverable(s) and the cover invoice for the related lump-sum installment payment. The payment can be withheld if the Client does not approve the submitted deliverable(s) as satisfactory in which case the Client shall provide comments to the Consultant within the same sixty (60) days period. The Consultant shall thereupon promptly make any necessary corrections, and thereafter the foregoing process shall be repeated.
- 41.2.3 *The Final Payment.* The final payment under this Clause shall be made only after the final report have been submitted by the Consultant and approved as satisfactory by the Client. The Services shall then be deemed completed and finally accepted by the Client. The last lump-sum installment shall be




deemed approved for payment by the Client within ninety (90) calendar days after receipt of the final report by the Client unless the Client, within such ninety (90) calendar day period, gives written notice to the Consultant specifying in detail deficiencies in the Services, the final report. The Consultant shall thereupon promptly make any necessary corrections, and thereafter the foregoing process shall be repeated. 41.2.4 All payments under this Contract shall be made to the accounts of the Consultant specified in the SCC.

41.2.4 With the exception of the final payment under 41.2.3 above, payments do not constitute acceptance of the whole Services nor relieve the Consultant of any obligations hereunder.

#### 42. Interest on Delayed Payments

42.1 If the Client had delayed payments beyond fifteen (15) days after the due date stated in Clause GCC 41.2.2, interest shall be paid to the Consultant on any amount due by, not paid on, such due date for each day of delay at the annual rate stated in the SCC.

### G. Fairness and Good Faith

#### 43. Good Faith

43.1 The Parties undertake to act in good faith with respect to each other's rights under this Contract and to adopt all reasonable measures to ensure the realization of the objectives of this Contract.

### H. Settlement of Disputes

#### 44. Amicable Settlement

44.1 The Parties shall seek to resolve any dispute amicably by mutual consultation.

44.2 If either Party objects to any action or inaction of the other Party, the objecting Party may file a written Notice of Dispute to the other Party providing in detail the basis of the dispute. The Party receiving the Notice of Dispute will consider it and respond in writing within fourteen (14) days after receipt. If that Party fails to respond within fourteen (14) days, or the dispute cannot be amicably settled within fourteen (14) days following the response of that Party, Clause GCC 45.1 shall apply.

#### 45. Dispute Resolution

45.1 Any dispute between the Parties arising under or related to this Contract that cannot be settled amicably may be referred to by either Party to the adjudication/arbitration in accordance with the provisions specified in the SCC.



## Attachment 1: Bank's Policy – Corrupt and Fraudulent Practices

Guidelines for Selection and Employment of Consultants under IBRD Loans and IDA Credits & Grants by World Bank Borrowers, dated January 2011:

### “Fraud and Corruption

1.23 It is the Bank's policy to require that Borrowers (including beneficiaries of Bank loans), consultants, and their agents (whether declared or not), sub-contractors, sub-consultants, service providers, or suppliers, and any personnel thereof, observe the highest standard of ethics during the selection and execution of Bank-financed contracts [footnote: In this context, any action taken by a consultant or any of its personnel, or its agents, or its sub-consultants, sub-contractors, services providers, suppliers, and/or their employees, to influence the selection process or contract execution for undue advantage is improper.]. In pursuance of this policy, the Bank:

(a) defines, for the purposes of this provision, the terms set forth below as follows:

- (i) “corrupt practice” is the offering, giving, receiving, or soliciting, directly or indirectly, of anything of value to influence improperly the actions of another party<sup>1</sup>;
- (ii) “fraudulent practice” is any act or omission, including misrepresentation, that knowingly or recklessly misleads, or attempts to mislead, a party to obtain financial or other benefit or to avoid an obligation<sup>2</sup>;
- (iii) “collusive practices” is an arrangement between two or more parties designed to achieve an improper purpose, including to influence improperly the actions of another party<sup>3</sup>;
- (iv) “coercive practices” is impairing or harming, or threatening to impair or harm, directly or indirectly, any party or the property of the party to influence improperly the actions of a party<sup>4</sup>;

<sup>1</sup> For the purpose of this sub-paragraph, “another party” refers to a public official acting in relation to the selection process or contract execution. In this context “public official” includes World Bank staff and employees of other organizations taking or reviewing selection decisions.

<sup>2</sup> For the purpose of this sub-paragraph, “party” refers to a public official; the terms “benefit” and “obligation” relate to the selection process or contract execution; and the “act or omission” is intended to influence the selection process or contract execution.

<sup>3</sup> For the purpose of this sub-paragraph, “parties” refers to participants in the procurement or selection process (including public officials) attempting either themselves, or through another person or entity not participating in the procurement or selection process, to simulate competition or to establish prices at artificial, non-competitive levels, or are privy to each other's bid prices or other conditions.

<sup>4</sup> For the purpose of this sub-paragraph, “party” refers to a participant in the selection process or contract execution.

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- (v) "obstructive practice" is
- (aa) deliberately destroying, falsifying, altering, or concealing of evidence material to the investigation or making false statements to investigators in order to materially impede a Bank investigation into allegations of a corrupt, fraudulent, coercive, or collusive practice; and/or threatening, harassing, or intimidating any party to prevent it from disclosing its knowledge of matters relevant to the investigation or from pursuing the investigation, or
  - (bb) acts intended to materially impede the exercise of the Bank's inspection and audit rights;
- (b) will reject a proposal for award if it determines that the consultant recommended for award or any of its personnel, or its agents, or its sub-consultants, sub-contractors, services providers, suppliers, and/or their employees, has, directly or indirectly, engaged in corrupt, fraudulent, collusive, coercive, or obstructive practices in competing for the contract in question;
- (c) will declare misprocurement and cancel the portion of the Loan allocated to a contract if it determines at any time that representatives of the Borrower or of a recipient of any part of the proceeds of the Loan were engaged in corrupt, fraudulent, collusive, coercive, or obstructive practices during the selection process or the implementation of the contract in question, without the Borrower having taken timely and appropriate action satisfactory to the Bank to address such practices when they occur, including by failing to inform the Bank in a timely manner they knew of the practices;
- (d) will sanction a firm or an individual at any time, in accordance with prevailing Bank's sanctions procedures<sup>5</sup>, including by publicly declaring such firm or an ineligible, either indefinitely or for a stated period of time: (i) to be awarded a Bank-financed contract, and (ii) to be a nominated<sup>6</sup> sub-consultant, supplier, or service provider of an otherwise eligible firm being awarded a Bank-financed contract.

<sup>5</sup> A firm or an individual may be declared ineligible to be awarded a Bank-financed contract upon (i) completion of the Bank's sanctions proceedings as per its sanctions procedures, including inter alia: cross-debarment as agreed with other International Financial Institutions, including Multilateral Development Banks, and through the application of the World Bank Group corporate administrative procurement sanctions procedures for fraud and corruption; and (ii) as a result of temporary suspension or early temporary suspension in connection with an ongoing sanctions proceedings. See footnote 12 and paragraph 8 of Appendix 1 of these Guidelines.

<sup>6</sup> A nominated sub-consultant, supplier, or service provider is one which has been either (i) included by the consultant in its proposal because it brings specific and critical experience and know-how that are accounted for in the technical evaluation of the consultant's proposal for the particular services; or (ii) appointed by the Borrower.



### III. Special Conditions of Contract

Number of GC Clause	Amendments of, and Supplements to, Clauses in the General Conditions of Contract
1.1(b) and 3.1	The Contract shall be construed in accordance with the law of <i>Republic of India</i>
4.1	The language is: <b>English</b>
6.1 and 6.2	<p>The addresses are:</p> <p><b>Client:</b> Shri Sanjay Kumar, Director (Projects), Directorate General of Training, M/o Skill Development &amp; Entrepreneurship            Attention: Director (Projects)            Facsimile: 011-25804771            E-mail: <a href="mailto:sanjay.kr24@gov.in">sanjay.kr24@gov.in</a></p> <p><b>Consultant :</b> Indian Institute of Management Indore            Attention : Prof. Himanshu Rai, Director            Facsimile : 91-731-2439800            E-mail (where permitted): <a href="mailto:director@iimidr.ac.in">director@iimidr.ac.in</a></p>
8.1	N.A
9.1	<p>The Authorized Representatives are:</p> <p><b>For the Client:</b>            Mr. Sanjay Kumar, Director (Projects)            Directorate General of Training,            M/o Skill Development &amp; Entrepreneurship,            1<sup>st</sup> Floor, Kaushal Bhawan, Karol Bagh, New Delhi - 110005</p> <p><b>For the Consultant:</b>            Prof. Himanshu Rai, Director            Indian Institute of Management Indore            Rau – Pithampur Road, Indore - 453556</p>
11.1	<p>The effectiveness conditions are the following:</p> <p>a) Within 15 days of signing of the contract by the Client and the Consultant</p> <p>b) Submission of Bank Guarantee to the client for an amount of 10%</p>



	of the contract value for advance amount valid up to the date mentioned in SCC 41.2.1
12.1	<b>Termination of Contract for Failure to Become Effective:</b>  The time period shall be 30 days
13.1	<b>Commencement of Services:</b>  The number of days shall be 15 days of signing the contract  Confirmation of Key Experts' availability to start the Assignment shall be submitted to the Client in writing as a written statement signed by each Key Expert.
14.1	<b>Expiration of Contract:</b>  The time period shall be 24 months  The contract is subject to an annual review. Further extension of the contract for a period of not more than 12 months shall be considered at the same rates and terms and conditions depending upon need for the assignment and performance of consultant.
21 b.	<b>The Client reserves the right to determine on a case-by-case basis whether the Consultant should be disqualified from providing goods, works or non-consulting services due to a conflict of a nature described in Clause GCC 21.1.3</b>  Yes
23.1	The following limitation of the Consultant's Liability towards the Client can be subject to the Contract's negotiations:  <b>"Limitation of the Consultant's Liability towards the Client:</b>  (a) Except in the case of gross negligence or willful misconduct on the part of the Consultant or on the part of any person or a firm acting on behalf of the Consultant in carrying out the Services, the Consultant, with respect to damage caused by the Consultant to the Client's property, shall not be liable to the Client:  (i) for any indirect or consequential loss or damage; and  (ii) for any direct loss or damage that exceeds one times



	<p>the total value of the Contract;</p> <p>(b) This limitation of liability shall not</p> <p>(i) affect the Consultant's liability, if any, for damage to Third Parties caused by the Consultant or any person or firm acting on behalf of the Consultant in carrying out the Services;</p> <p>(ii) be construed as providing the Consultant with any limitation or exclusion from liability which is prohibited by the Applicable Law.</p>
24.1	<p><b>The insurance coverage against the risks shall be as follows:</b></p> <p>(a) <b>Professional liability insurance, with a minimum coverage equal to value of the contract</b></p> <p>(b) Third Party motor vehicle liability insurance in respect of motor vehicles operated in the Client's country by the Consultant or its Experts or Sub-consultants, with a minimum coverage in accordance with the applicable law in the Client's country.</p> <p>(c) Third Party liability insurance, with a minimum coverage of equal to value of contract.</p> <p>(d) employer's liability and workers' compensation insurance in respect of the experts and Sub-consultants in accordance with the relevant provisions of the applicable law in the Client's country, as well as, with respect to such Experts, any such life, health, accident, travel or other insurance as may be appropriate; and</p> <p>(e) insurance against loss of or damage to (i) equipment purchased in whole or in part with funds provided under this Contract, (ii) the Consultant's property used in the performance of the Services, and (iii) any documents prepared by the Consultant in the performance of the Services.</p>
27.1	<i>Not Applicable</i>
27.2	<b>The Consultant shall not use these documents, information, reports, data, software or other information for purposes unrelated to this Contract without the prior written approval of</b>

	<b>the Client.</b>
30.2	<p>In addition to GCC 30.2</p> <p>For each instance of change in key personnel, due to the person leaving employment /contract, the following undertaking is to be signed by the team leader:</p> <p>&lt;name of the team member being replaced&gt; is leaving the employment of the IIM Indore /contract with effect from &lt;date&gt; and will not be used by IIM Indore for any other consulting assignment for a period of one year. We fully understand that any wrong declaration given by us will attract sanctions under Clause No. 1.23 (d) in attachment 1 of the contract signed between Directorate General of Training, M/o Skill Development &amp; Entrepreneurship and Indian Institute of Management Indore (IIM Indore) dated &lt;date&gt; for Conducting third party 'Independent Verification' of Disbursement Linked Indicators (DLIs) and project achievements under Skills Strengthening for Industrial Value Enhancement (STRIVE).</p>
32.1 (a) through (e)	<i>Not Applicable</i>
32.1(f)	<p>(1) Give access to and copies of all the required documents, correspondence and any other information associated with the project as felt necessary by client in discussion with the consultant.</p> <p>(2) Provide all information related to the functioning / background of the project, DGT, ITIs, and other Institutions to the consultant.</p> <p>(3) Provide access for the consultants to key officials in the government agencies, local authorities and departments concerned including officials of ITIs, SPIUs, CFIs, RDSDE, ICs, IAs, SAMC, NPIU etc.</p> <p>(4) Provide the vendor /consultant information regarding assets purchased/ civil works undertaken under the project. If necessary direct the concerned authorities to provide the information /copies of documents related to the assets /civil works to the consultant.</p>
38.1	<b>The Contract price is: 2,83,20,000/- (Indian Rupees two crores eighty three lakhs twenty thousand only) inclusive of local indirect taxes (GST @ 18%).</b>



	<p>Any indirect local taxes chargeable in respect of this Contract for the Services provided by the Consultant shall reimbursed by the Client to the Consultant.</p> <p>The amount of such taxes is 43,20,000/- (Rupees forty three lakhs twenty thousand only) <b>as finalized at the Contract's negotiations on the basis of the estimates provided by the Consultant in Form FIN-2 of the Consultant's Financial Proposal.</b></p>
<p><b>39.1 and 39.2</b></p>	<p>The Client warrants that the Client shall reimburse the Consultant, the Sub-consultants and the Experts any indirect taxes, duties, fees, levies and other impositions imposed, under the applicable law in the Client's country, on the Consultant, the Sub-consultants and the Experts in respect of:</p> <p>(a) any payments whatsoever made to the Consultant, Sub-consultants and the Experts (other than nationals or permanent residents of the Client's country), in connection with the carrying out of the Services;</p> <p>(b) any equipment, materials and supplies brought into the Client's country by the Consultant or Sub-consultants for the purpose of carrying out the Services and which, after having been brought into such territories, will be subsequently withdrawn by them;</p> <p>(c) any equipment imported for the purpose of carrying out the Services and paid for out of funds provided by the Client and which is treated as property of the Client;</p> <p>(d) any property brought into the Client's country by the Consultant, any Sub-consultants or the Experts (other than nationals or permanent residents of the Client's country), or the eligible dependents of such experts for their personal use and which will subsequently be withdrawn by them upon their respective departure from the Client's country, provided that:</p> <p>(i) the Consultant, Sub-consultants and experts shall follow the usual customs procedures of the Client's country in importing property into the Client's country; and</p> <p>(ii) if the Consultant, Sub-consultants or Experts do not withdraw but dispose of any property in the Client's country upon which customs duties and taxes have been exempted, the Consultant, Sub-consultants or Experts, as the case may be, (a) shall bear such customs duties and taxes in conformity with the regulations of the Client's country, or (b) shall reimburse them to the Client if they</p>

	<p>were paid by the Client at the time the property in question was brought into the Client's country.</p>															
41.2	<p><b>The payment schedule:</b></p> <table border="1"> <thead> <tr> <th>S. No.</th> <th>Payment milestone (linked to project deliverables)</th> <th>Amount Disbursement (Percentage of total project amount)</th> </tr> </thead> <tbody> <tr> <td>1</td> <td>Acceptance of Inception report by the client</td> <td>15%</td> </tr> <tr> <td>2</td> <td>Acceptance of DLI Verification Report for Year-1 by the client</td> <td>30%</td> </tr> <tr> <td>3</td> <td>Acceptance of DLI Verification Report for Year-2 by the client</td> <td>30%</td> </tr> <tr> <td>4</td> <td>Acceptance of Assignment completion report by the client</td> <td>25%</td> </tr> </tbody> </table>	S. No.	Payment milestone (linked to project deliverables)	Amount Disbursement (Percentage of total project amount)	1	Acceptance of Inception report by the client	15%	2	Acceptance of DLI Verification Report for Year-1 by the client	30%	3	Acceptance of DLI Verification Report for Year-2 by the client	30%	4	Acceptance of Assignment completion report by the client	25%
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41.2.1	<p>The following provisions shall apply to the advance payment and the advance bank payment guarantee:</p> <p>(1) An advance payment of up to 10% of the contract price in the quoted currency shall be made within 30 days after the submission of bank guarantee and the invoice. The advance payment will be set-off by client against payments for Deliverable 2 above.</p> <p>(2) The advance bank payment guarantee shall be in the amount and in the currency of the advance payment valid up to the period for Deliverable 2 (one year from the date of signing the contract).</p> <p>(3) The bank guarantee will be released when the advance payment has been fully set off.</p>															
41.2.4	<p><b>The accounts are:</b>  For IIM Indore  for local currency: Account Number 32104076544 in State Bank of India  Branch - IIM Indore Campus, Rau  Indore  IFSC Code – SBIN0030525</p>															
42.1	<p><b>The interest rate is:</b> 5% for local currency and London Inter –Bank Offered Rate (LIBOR) plus 1% for foreign currency</p>															

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म. प्र., भारत/M.P., India



45.1	<p><b>Disputes shall be settled by arbitration in accordance with the following provisions:</b></p> <p>1. <u>Selection of Arbitrators.</u> Each dispute submitted by a Party to arbitration shall be heard by a sole arbitrator or an arbitration panel composed of three (3) arbitrators, in accordance with the following provisions:</p> <p>(a) Where the Parties agree that the dispute concerns a technical matter, they may agree to appoint a sole arbitrator or, failing agreement on the identity of such sole arbitrator within thirty (30) days after receipt by the other Party of the proposal of a name for such an appointment by the Party who initiated the proceedings, either Party may apply to Indian Council of Arbitration, India for a list of not fewer than five (5) nominees and, on receipt of such list, the Parties shall alternately strike names therefrom, and the last remaining nominee on the list shall be the sole arbitrator for the matter in dispute. If the last remaining nominee has not been determined in this manner within sixty (60) days of the date of the list, Indian Council of Arbitration, India shall appoint, upon the request of either Party and from such list or otherwise, a sole arbitrator for the matter in dispute.</p> <p>(b) Where the Parties do not agree that the dispute concerns a technical matter, the Client and the Consultant shall each appoint one (1) arbitrator, and these two arbitrators shall jointly appoint a third arbitrator, who shall chair the arbitration panel. If the arbitrators named by the Parties do not succeed in appointing a third arbitrator within thirty (30) days after the latter of the two (2) arbitrators named by the Parties has been appointed, the third arbitrator shall, at the request of either Party, be appointed by The Secretary, the Indian Council of Arbitration, India.</p> <p>(c) If, in a dispute subject to paragraph (b) above, one Party fails to appoint its arbitrator within thirty (30) days after the other Party has appointed its arbitrator, the Party which has named an arbitrator may apply to the Indian Council of Arbitration, India to appoint a sole arbitrator for the matter in dispute, and the arbitrator appointed pursuant to such application shall be the sole arbitrator for that dispute.</p>
	<p>2. <u>Rules of Procedure.</u> Except as otherwise stated herein, arbitration proceedings shall be conducted in accordance with the rules of</p>

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	<p>procedure for arbitration of the United Nations Commission on International Trade Law (UNCITRAL) as in force on the date of this Contract.</p> <p>3. <u>Substitute Arbitrators.</u> If for any reason an arbitrator is unable to perform his/her function, a substitute shall be appointed in the same manner as the original arbitrator.</p> <p>4. <u>Nationality and Qualifications of Arbitrators.</u> The sole arbitrator or the third arbitrator appointed pursuant to paragraphs 1(a) through 1(c) above shall be an internationally recognized legal or technical expert with extensive experience in relation to the matter in dispute and shall not be a national of the Consultant's home country [<i>If the Consultant consists of more than one entity, add: or of the home country of any of their members or Parties</i>] or of the Government's country. For the purposes of this Clause, "home country" means any of:</p> <p>(a) the country of incorporation of the Consultant [<i>If the Consultant consists of more than one entity, add: or of any of their members or Parties</i>]; or</p> <p>(b) the country in which the Consultant's [or any of their members' or Parties'] principal place of business is located; or</p> <p>(c) the country of nationality of a majority of the Consultant's [or of any members' or Parties'] shareholders; or</p> <p>(d) the country of nationality of the Sub-consultants concerned, where the dispute involves a subcontract.</p>
<p>W</p>	<p>5. <u>Miscellaneous.</u> In any arbitration proceeding hereunder:</p> <p>(a) proceedings shall, unless otherwise agreed by the Parties, be held in <b>New Delhi, India</b></p> <p>(b) the <b>English</b> language shall be the official language for all purposes; and</p> <p>(c) the decision of the sole arbitrator or of a majority of the arbitrators (or of the third arbitrator if there is no such majority) shall be final and binding and shall be enforceable in any court of competent jurisdiction, and the Parties hereby waive any objections to or claims of immunity in respect of such enforcement.</p>



## IV. Appendices

### APPENDIX A – TERMS OF REFERENCE

*[This Appendix shall include the final Terms of Reference (TORs) worked out by the Client and the Consultant during the negotiations; dates for completion of various tasks; location of performance for different tasks; detailed reporting requirements and list of deliverables against which the payments to the Consultant will be made; Client's input, including counterpart personnel assigned by the Client to work on the Consultant's team; specific tasks or actions that require prior approval by the Client.]*

*Insert the text based on the Section 7 (Terms of Reference) of the ITC in the RFP and modified based on the Forms TECH-1 through TECH-5 of the Consultant's Proposal. Highlight the changes to Section 7 of the RFP]*

### APPENDIX B - KEY EXPERTS

*[Insert a table based on Form TECH-6 of the Consultant's Technical Proposal and finalized at the Contract's negotiations. Attach the CVs (updated and signed by the respective Key Experts) demonstrating the qualifications of Key Experts.]*

### APPENDIX C – BREAKDOWN OF CONTRACT PRICE

*[Insert the table with the unit rates to arrive at the breakdown of the lump-sum price. The table shall be based on [Form FIN-3 and FIN-4] of the Consultant's Proposal and reflect any changes agreed at the Contract negotiations, if any. The footnote shall list such changes made to [Form FIN-3 and FIN-4] at the negotiations or state that none has been made.]*

*When the Consultant has been selected under Quality-Based Selection method, also add the following:*

*"The agreed remuneration rates shall be stated in the attached Model Form L. This form shall be prepared on the basis of Appendix A to Form FIN-3 of the RFP "Consultants' Representations regarding Costs and Charges" submitted by the Consultant to the Client prior to the Contract's negotiations.*

*Should these representations be found by the Client (either through inspections or audits pursuant to Clause GCC 25.2 or through other means) to be materially*

incomplete or inaccurate, the Client shall be entitled to introduce appropriate modifications in the remuneration rates affected by such materially incomplete or inaccurate representations. Any such modification shall have retroactive effect and, in case remuneration has already been paid by the Client before any such modification, (i) the Client shall be entitled to offset any excess payment against the next monthly payment to the Consultants, or (ii) if there are no further payments to be made by the Client to the Consultants, the Consultants shall reimburse to the Client any excess payment within thirty (30) days of receipt of a written claim of the Client. Any such claim by the Client for reimbursement must be made within twelve (12) calendar months after receipt by the Client of a final report and a final statement approved by the Client in accordance with Clause GCC 45.1(d) of this Contract. "]

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**Appendix D- Form of Advance Payments Guarantee**  
*[See Clause GCC 41.2.1 and SCC 41.2.1]*

WA  
Dr. Manishu Rai  
Principal Director  
भारतीय प्रबंधन संस्थान इंदौर  
Indian Institute of Management Indore  
प्रमुख संस्थापक/प्रबंधक शिखर  
मार्ग-पिठम्पुर रोड, इंदौर- 453556  
Rau-Pithampur Road, Indore- 453556  
म.प्र., भारत/M.P., India





# APPENDIX A

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प्रो. हिमंशु राज/Prof. Himanshu Raj  
निदेशक/Director  
भारतीय प्रबंध संस्थान इन्दौर  
Indian Institute of Management Indore  
प्रबंध शिखर/Prabandh Shikhar  
राउ-पीथम्पुर रोड, इन्दौर- 453556  
Rau-Pithampur Road, Indore- 453556  
भ. प्र., भारत/M.P., India



## FORM TECH-1

### TECHNICAL PROPOSAL SUBMISSION FORM

22<sup>nd</sup> November 2019

To:

The Director (C & P)  
Directorate General of Training,  
M/o Skill Development & Entrepreneurship  
1st Floor, Kaushal Bhawan,  
Karol Bagh, Delhi – 110005, India

Dear Sir:

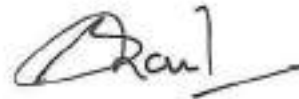
We, the undersigned, offer to provide the consulting services for **“Conducting third party ‘Independent Verification’ of Disbursement Linked Indicators (DLIs) and project achievements under Skills Strengthening for Industrial Value Enhancement (STRIVE)”** in accordance with your Request for Proposals dated 7<sup>th</sup> November 2019 and our Proposal.

We hereby declare that:

- (a) All the information and statements made in this Proposal are true and we accept that any misinterpretation or misrepresentation contained in this Proposal may lead to our disqualification by the Client and/or may be sanctioned by the Bank.
- (b) Our Proposal shall be valid and remain binding upon us for the period of time specified in the Data Sheet, Clause 12.1 (90 days from the date of the proposal).
- (c) We have no conflict of interest in accordance with ITC 3.
- (d) We meet the eligibility requirements as stated in ITC 6, and we confirm our understanding of our obligation to abide by the Bank’s policy in regard to corrupt and fraudulent practices as per ITC 5.
- (e) We, along with any of our sub-consultants, subcontractors, suppliers, or service providers for any part of the contract, are not subject to, and not controlled by any entity or individual that is subject to, a temporary suspension or a debarment imposed by a member of the World Bank Group or a debarment imposed by the World Bank Group in accordance with the Agreement for Mutual Enforcement of Debarment Decisions between the World Bank and other development banks. Further, we are not ineligible under the Employer’s country laws or official regulations or pursuant to a decision of the United Nations Security Council;

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डॉ. हिमंशु राय/Prof. Himanshu Rai  
निदेशक/Director  
भारतीय प्रबंध संस्थान इन्दौर  
Indian Institute of Management Indore  
प्रबंध शिक्षा/Rajwade Santh Shikhar  
राज-पीथमपुर रोड, इन्दौर- 453556  
Rau-Pithampur Road, Indore- 453556  
म. प्र., भारत/M.P., India





- (f) In competing for (and, if the award is made to us, in executing) the Contract, we undertake to observe the laws against fraud and corruption, including bribery, in force in the country of the Client.
- (g) Except as stated in the Data Sheet, Clause 12.1, we undertake to negotiate a Contract on the basis of the proposed Key Experts. We accept that the substitution of Key Experts for reasons other than those stated in ITC Clause 12 and ITC Clause 28.4 may lead to the termination of Contract negotiations.
- (h) Our Proposal is binding upon us and subject to any modifications resulting from the Contract negotiations.

We undertake, if our Proposal is accepted and the Contract is signed, to initiate the Services related to the assignment no later than the date indicated in Clause 30.2 of the Data Sheet.

We understand that the Client is not bound to accept any Proposal that the Client receives.

We remain,

Yours sincerely,

Authorized Signature



Name and Title of Signatory: Prof. Himanshu Rai,

Name of Consultant (company's name or JV's name): Indian institute of Management Indore

In the capacity of: Director

Address: Prabandh Shikhar, Rau – Pithampur Road, Indore – 453556.

Contact information (phone and e-mail): 0731-2439501, director@iimidr.ac.in



प्रो. हिमंशु राय/Prof. Himanshu Rai  
निदेशक/Director  
भारतीय प्रबंध संस्थान इन्दौर  
Indian Institute of Management Indore  
प्रबन्ध शिखर/Prabandh Shikhar  
राय-पीथम्पुर रोड, इन्दौर- 453556  
Rau-Pithampur Road, Indore- 453556  
म. प्र., भारत/M.P., India




**FORM TECH-2**  
**CONSULTANT'S ORGANIZATION AND EXPERIENCE**

**A - CONSULTANT'S ORGANIZATION**

Indian Institute of Management is an institute of national importance under the IIM Act 2017. It was established in 1996 as a society under the society's Act and offers management education, training and consulting to individuals, industry and government. One of its focus areas is research in the area of management. The flagship programme of the institute is the two-year MBA programme.

IIM Indore has the distinction of being Triple Crowned with accreditations from AACSB, AMBA and EQUIS.

**DETAILS OF THE APPLICANT'S OPERATIONS AND ORGANISATION BACKGROUND**

S.No.	Information Sought	Details to be furnished	
<b>1.</b>	<b>Contact Details of the Applicant</b>		
	Name of the applicant	Indian Institute of Management, Indore	
	Address	Prabandh Shikhar, Rau-Pithampur Road Indore - 453556, Madhya Pradesh, India	
	Telephone, Mobile No.	0731-2439501, 7024173091	
	Email	director@iimidr.ac.in	
	Fax	0731-2439800	
	Website	https://www.iimidr.ac.in/	
<b>2.</b>	<b>Information about the applicant's Operations/ Background of the Organisation</b>		
<b>2.1</b>	<b>Information/ Registration Information/ Board of Resolution/ Cabinet Note PSUs/ Institutions, as applicable</b>		
	Incorporation status of the firm (public limited/ Research Institution, Think Tank, Academic Body etc.)	Academic Institute under The IIM Act 2017 (Copy of IIM Act attached)	
	Details of company registration (Attach the photocopy of the registration)	Date of Registration	
	Details of Registration with appropriate authorities for service tax/ GST and other statutory taxes / duties (for each provide date of Registration, Registration reference/ number and photocopies and any other relevant detail)	3-10-96	Indian Institute of Management Indore, a society registered under the Madhya Pradesh Societies Registration Act, 1973 (44 of 1973)  No. IND/2728/96
		GST	23AAAJI0057R1Z3
		PAN	AAAJI0057R

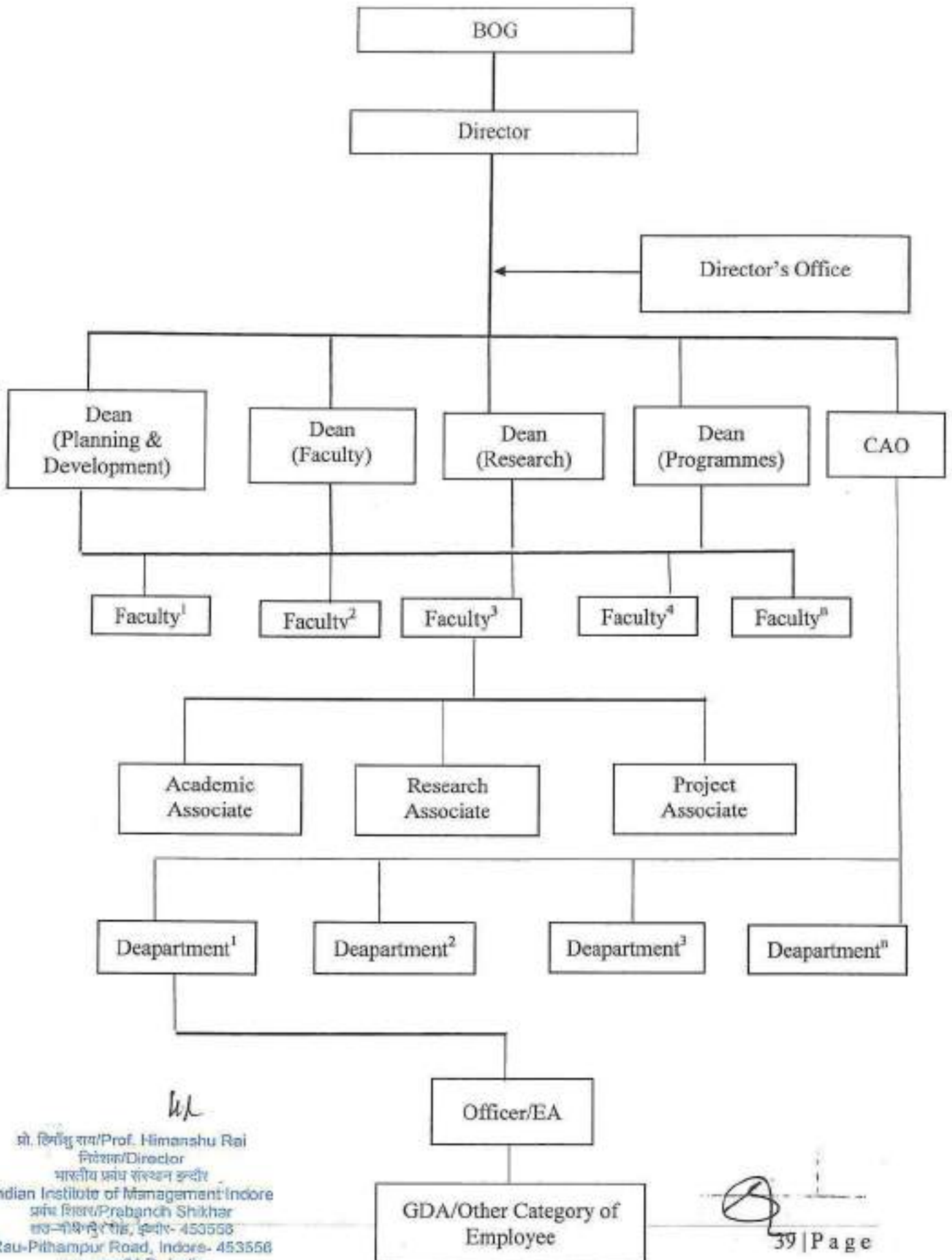
श्री. हिमंशु राय/Prof. Himanshu Rai  
निदेशक/Director  
भारतीय प्रबंध विद्यापीठ इंदौर

Indian Institute of Management Indore  
प्रबंध शिखर/Prabandh Shikhar  
राउ-पिथम्पुर रोड, इंदौर- 453556  
Rau-Pithampur Road, Indore- 453556 -  
म.प्र., भारत/M.P., India





## Organizational Chart



श्री. हिमंशु राय/Prof. Himanshu Rai  
 निदेशक/Director  
 भारतीय प्रबंध संस्थान इंदौर  
 Indian Institute of Management Indore  
 प्रबंध शिक्षक/Prebanch Shikhar  
 राउ-पीथम्पुर रोड, इंदौर- 453558  
 Rau-Pithampur Road, Indore- 453558  
 म. प्र., भारत/M.P., India

## Board of Governors

Sl. No.	Name	Designation
1.	Deepak M. Satwalekar	Chairman
2.	Himanshu Rai	Member (Director, IIM Indore)
3.	Anuradha Balaram, IES (Retd.)	Member
4.	Ranjan Pant	Member
5.	Salil Bhandari	Member
6.	Gautam Chintey	Member
7.	Deepali Rastogi, IAS	Member
8.	Siddharth Sethi	Member (Alumni)
9.	Debolina Dutta	Member (Alumni)
10.	Sushanta Kumar Mishra	Member (Faculty representative)
11.	L V Ramana	Member (Faculty representative)
12.	Sanjay Kumar Sinha	Member
13.	Colonel Gururaj Gopinath Pamidi (Retired)	Secretary



प्रो. हिमांशु राय/Prof. Himanshu Rai  
निदेशक/Director

भारतीय प्रबंध संस्थान इंदौर

Indian Institute of Management Indore

प्रबंध शिक्षण/Prabandhi Shikhar

राउ-पिहंपुर रोड, इंदौर- 453556

Rau-Pihampur Road, Indore- 453556

म. प्र., भारत/M.P., India





## B - CONSULTANT'S EXPERIENCE

Durati on	Assignment Name/&brief description of main deliverables/outputs	Name of the Client Including Contract details & email ID*	Assignmen t Place (states / districts etc.)	Approx. Contract value (in INR)/ Amount paid to your firm	Role on the Assignmen t
2018-19	<b>IWA for SANKALP</b> Verification of claims against Disbursement Linked Indicators for the World Bank Supported SANKALP initiative of the Government of India.	Ministry of Skill Development and Entrepreneurship Government of India	India	43 million	Sole Consultant
2018-19	<b>Review of the Chief Minister's Jan Kalyan Yojana (Sambal Yojana)</b> Design of the study including survey design. Overseeing field data collection. Analysis and report preparation.  Focus is on analyzing the impact of the schemes	Government of Madhya Pradesh	India	15.0 million	Sole Consultant
2018-19	<b>Review of Financial Assistance Schemes to Disadvantaged Students in Higher Education</b> Design of the study including survey design, sampling procedure, design of questionnaire schedules. Primary and secondary data collection. Data analysis and report writing.	Government of Madhya Pradesh	India	8.0 million	Sole Consultant
2016-18	<b>MPHEQIP Capacity building for strategic planning for higher education institutes in MP</b> Provide guidance to develop the institute's strategic plans, including institutional goals and objectives along with key milestones to measure progress and key performance indicators. <ul style="list-style-type: none"> <li>• Align their budget /resources to the activities.</li> <li>• Act as mentors to the other institutes.</li> </ul>	MP Government, World Bank	Madhya Pradesh	36.5 million	Sole Consultant

Durati on	Assignment Name/&brief description of main deliverables/outputs	Name of the Client Including Contract details & email ID*	Assignme nt Place (states/ districts etc.)	Approx. Contract value (in NR)/Amou nt paid to your firm	Role on the Assignment
2017-18	<b>TEQIP III: Improvement of quality of Technical Education.</b>  Gap analysis, Designing and delivery of components of the programme.	MHRD, NPIU	India	3.2 million	Sole Consultant
2017-18	<b>TEQIP III Improvement of quality of Technical Education</b>  Design of HR policies methods and leadership frameworks for improvement in quality of technical education.	MHRD, NPIU	India	0.1 million	Sole Consultant
2016-17	<b>Verification of Disbursement Linked Indicators for Public Service Delivery.</b>  World Bank \$35 million loan MPCARS Project	MP Government funded by World Bank	Madhya Pradesh	1.0 million	Sole Consultant
2016-17	<b>TEQIP III: Improvement of quality of Technical Education</b>	TEQUIP, MHRD, NPIU	Madhya Pradesh	0.3 million	Sole Consultant
2016-17	<b>TEQIP II: Improvement of quality of Technical Education</b>  Impact assessment of accrued due to the TEQIP Phase II in strengthening the quality of engineering education in the project institutions.	MHRD, TEQUIP, NPIU, IIT Delhi	Delhi, Indore	0.1 million	Sole Consultant
2016-17	<b>Design &amp; Delivery of training module for Innovation Management in MSME's.</b>  Literacy survey, Gap analysis and design and delivery of the program.	Steinbeis India and CII	India	1.19 million	Sole Consultant

प्र. वि. शिखर/Prof. Pimanshu Rai  
निदेशक/Director  
राष्ट्रीय प्रबंध संस्थान इन्दौर  
Indian Institute of Management Indore  
प्र. वि. शिखर/Prabashdi Shikhar  
राज-पीपलपुर रोड, इन्दौर- 453556  
Rau-Piplampur Road, Indore- 453556  
भ. प्र., म.प्र./M.P., India



<b>Duration</b>	<b>Assignment Name/&amp; brief description of main deliverables/outputs</b>	<b>Name of the Client Including Contract details &amp; email ID*</b>	<b>Assignment Place (states/ districts etc.)</b>	<b>Approx. Contract value (in NR)/Amount paid to your firm</b>	<b>Role on the Assignment</b>
2016-17	<b>Advanced Strategic Skills.</b> Analysis of environment, gap identification and systems design for environmental scanning and monitoring.	BEL	India	0.75 million	Sole Consultant
2016-17	<b>Designing, pilot testing and validating a focused training module for the entrepreneurs and provide substantive inputs in the design and delivery of the training and hand holding of entrepreneur.</b>  Involved field level data collection from entrepreneurs. / Field visit for data collection, interviewing, analysis design of the programme and programme delivery, which included training of the trainers.	UNDP	India (MP)	1.6 million	Sole Consultant
2016-17	<b>Developing an Innovation Excellence Model.</b>  Study of various models and development of an appropriate model of measuring innovation capabilities.	CII and IIM Indore	India	Probono	Sole Consultant
2015-16	<b>Impact assessment case studies : TEQIP</b>	NPIU, TEQIP, MHRD	Indore /Delhi	2.4 million	Sole Consultant
2015-16	<b>Impact Assessment of MCEP: TEQIP</b>  Data Collection & analysis, & conclusion  Preparation of Final Report to help further policy planning.	MHRD, TEQIP, NPIU	India	0.1 million	Sole Consultant

प्रो. हिमंशु राय/Prof. Himanshu Rai  
निदेशक/Director  
भारतीय प्रबंधन संस्थान इंदौर

Durati on	Assignment Name/&brief description of main deliverables/outputs	Name of the Client Including Contract details & email ID*	Assignment Place (states/ districts etc.)	Approx. Contract value (in INR) / Amount paid to your firm	Role on the Assignment
2014-15	<b>World Bank project on Study of autonomy in Higher Educational Institutions in MP.</b>  Field visits, interviewing faculty members and students. / Field Visit, interviewing, focus group discussions, data collection, and analysis.	World Bank	India (MP)	1.5 million	Sole Consultant
2013-14	<b>Management capacity enhancement Program: TEQUIP-II</b>  Understanding the research problem through primary and secondary data . Developing Research methodology for the project . Data Collection, analysis and conclusions . Preparation of final report after due discussions and adding the suggestions . Report developed to help further policy planning . Developed the detail subjects, content and pedagogical tools .	NPIU, TEQUI P, MHRD	Indore (Delhi)	0.1 million	Sole Consultant
2012-13	<b>HR and Communication Audit.</b>  To study HR and Communication practices in the various departments of Ministry of Health and recommend ways to improve.	Departmen t of Health	Bhopal Madhya Pradesh	0.3 million	Sole Consultant
2011-12	<b>Turnkey project for designing and executing a recruitment process.</b>	MPPKVV	Indore	22.7 million	Sole Consultant
2010-11	<b>Turnkey project for designing and executing a recruitment process.</b>	MPPKVV	India	6.5 million	Sole Consultant

Durati on	Assignment Name/&brief description of main deliverables/outputs	Name of the Client Including Contract details & email ID*	Assignm ent Place (states/ districts etc.)	Approx. Contract value (in INR)/ Amount paid to your firm	Role on the Assignment
2009-10	<p><b>Impact assessment of MGNREGA in three districts of MP</b></p> <p>Client meeting, understanding the research problem through primary and secondary data. Developing Research methodology for the project. Data Collection, analysis and conclusions Preparation of final report after due discussions and adding the suggestions: Report developed to help further enhance capabilities in high tech industry and policy planning.</p>	Govt of Madhya Pradesh	Madhya Pradesh	1.2 million	Sole Consultant
2008-09	<p><b>Consulting /Organizational Climate Survey and Competency Mapping</b></p>	Mettler Toledo, Mumbai	Mumbai	0.28 million	Sole Consultant

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## FORM TECH-3

### COMMENTS AND SUGGESTIONS ON THE TERMS OF REFERENCE, COUNTERPART STAFF, AND FACILITIES TO BE PROVIDED BY THE CLIENT

Form TECH-3: comments and suggestions on the Terms of Reference that could improve the quality/effectiveness of the assignment; and on requirements for counterpart staff and facilities, which are provided by the Client, including: administrative support, office space, local transportation, equipment, data, etc.

#### A - On the Terms of Reference

1. In the timelines, the deliverables from the client (DGT, MSDE) are also mentioned. For example, once the inception report is submitted, the client is expected to provide feedback and suggestions within a time period, failing which the inception report is treated as accepted. Similarly, once a draft report is submitted, it is expected that client will provide feedback within the time specified failing which the draft report is treated as final. It is important to note that if the client expects a delay the same should be communicated to the consultant in advance so that the consultant's resources are not wasted.
2. Once the data collection is completed based on methodology in the inception report, no additional data will be collected, and any changes requested for in the draft report will be limited to further analysis or from a presentation perspective.
3. The timeline for inception report may be extended by two weeks to facilitate more detailed planning.
4. Data collection is required to be made from ITI's and other institutions in the field of education. It is important to factor in the vacation and admissions period where the availability of the faculty /students /officials is limited, or they are unavailable. Considering this, if any data collection falls during this period, these periods should be treated as unavailable days and the timeframe extended accordingly. The actual blocked days for the above reasons to be decided by the client in consultation with the consultant.
5. As the ToR suggests coverage of all the ITI's considered under STRIVE during the project period, it is suggested that coverage include technological enabled methods like online survey, telephonic discussions and video /skype conferencing. This is to ensure timely execution of the verification.
6. Verification of claims against the DLIs presupposes that the claims have been made by the client at the beginning of the year (at the time of commencement of the activities or by the time the draft inception report is submitted). Delay in submissions of the claims will result in delay of the activities that follows the submission of claims.
7. Verification of the DLIs using field verification will be carried out once in a year after the claim for all the DLIs are made. Any other verification requested will only be based on desk verification.
8. In the ToR it is mentioned that financial performance will also be carried out by the IVA. This is vague and as such may be removed.

\* IITM, Prof. Himanshu Rai  
निदेशक/Director

भारतीय प्रबंध संस्थान इन्दौर  
Indian Institute of Management Indore  
प्रबंध शिक्षण/Prabandh Shikhar  
राउ-पीलामपुर रोड, इन्दौर- 453556  
Rau-Pilhampur Road, Indore- 453556  
भ.प्र., भारत/M.P., India



## B - On Counterpart Staff and Facilities

1. The client will ensure that along with the claims (including baseline data claims), the documents and basis on which these claims are made, is provided to the consultant.
2. The client will ensure that the participating ITI's and other institutions from whom data collection or verification is planned, provide the data in the format as required by the IVA and do not expect the IVA to compile the same from their files and registers.
3. The IVA would require some data provided to them (as per templates in the inception report) before the actual verification exercise. The same should be organized by the client be ensuring the same is collected from the ITI's other institutions and sent to the IVA. This is because the IVA has no authority /power over these institutions to ensure compliance.
4. As physical verification is an important component of the verification process, visits to the ITI's other institutions require facilitation from the client ensuring that the officials are available on the days. Delays in this aspect of the verification process can delay the submission of the verification report.

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## FORM TECH-4

### DESCRIPTION OF APPROACH, METHODOLOGY, AND WORK PLAN IN RESPONDING TO THE TERMS OF REFERENCE

Form TECH-4: a description of the approach, methodology and work plan for performing the assignment, including a detailed description of the proposed methodology and staffing for training, if the Terms of Reference specify training as a specific component of the assignment.

#### A) TECHNICAL APPROACH AND METHODOLOGY

STRIVE is a five year project, implemented by the Ministry of Skill Development & Entrepreneurship (MSDE) through State Governments, Industrial Training Institutes (ITIs), Centrally Funded Institutes (CFIs) and Industry Clusters (ICs). Assisted by World bank, Skills Strengthening for Industrial Value Enhancement (STRIVE) is a Government of India project with the objective of improving the relevance and efficiency of skills training provided through ITIs and apprenticeships. It is a Central Sector Scheme (CSS) with no state contribution and a budget outlay of INR 2200 crores. The closing date of STRIVE is November 2022. The project focuses on the following areas:

1. Improved Performance of ITIs
2. Increased Capacities of State Governments to support ITIs and Apprenticeship Training
3. Improved Teaching and Learning
4. Improved and Broadened Apprenticeship Training

The Independent Verification Agency (IVA) is expected to be engage with various listed stakeholders but not limited to: State/ UT Governments, State Project Implementation Unit (SPIU), Industrial Training Institutes (ITIs), Centrally funded Institutes (CFIs) including National Instructional Media Institute (NIMI) and Central Staff Training and Research Institute (CSTAR), Regional Directorates for Skill Development and Entrepreneurship (RDSDE), Industry clusters (ICs)/ Industry Apprenticeship Initiatives (IAIs) and State Apprenticeship Monitoring Cells (SAMC), under the overall direction of National Project Implementation Unit (NPIU) to ensure verification of specific outputs in agreed areas.

For carrying out the verification, the IVA would be provided access to the data maintained at the NCVT MIS Portal, and also access to documents and personnel who are associated at the different levels to deliver to the mission objectives. The proof of achievement of DLIs would generated by the MSDE based on MIS and the IVA would be tasked to verify the same for each





DLIs by aggregating/ disaggregating it across categories of participants, it is, ICs etc. The Independent Verification Agency (IVA) is expected to verify the performance under the STRIVE across six DLIs, which have already been identified. While verifying the achievement of results against the six DLIs, the IVA is also expected to verify the quality of interventions implemented. Therefore, the IVA is expected to include both qualitative and quantitative methods in their approach and methodology. The output of the verification contained in a comprehensive report to be submitted to MSDE, which clearly indicates the achievement of each DLI for the disbursement claims prepared by the MSDE.

The outputs under STRIVE will be monitored annually through the Results Framework (RF) and are therefore aligned with the Disbursement Linked Indicators (DLI) matrix of STRIVE. Overall program monitoring at the national level is the responsibility of the National Project Implementation Unit (NPIU) housed in the Directorate General of Training (DGT), Ministry of Skill Development & Entrepreneurship (MSDE), GOI. The NPIU will also monitor the progress of the program at the State level. Hence, it is necessary that the protocol, nature and content of the verification exercise and the report is acceptable to NPIU (MSDE) and the World Bank.

#### PROPOSED APPROACH:

The six DLI's to be verified cover a broad spectrum of parameters, necessitating the use of multiple approaches and methodologies to comprehensively assess the progress made against each. For instance, while the first DLI is about the increase in the number of graduates from ITIs that have signed PB Grant Agreements, the second DLI is about percentage of trainees who get on the job training and find gainful employment. The third DLI is about the reduction in ITIs' trainer vacancies and improvements in training of trainers. Hence, the volume of data to be examined varies significantly, from being huge in numbers to being high in qualitative aspect, necessitating the approach and methodology to be adopted has to cover all of them.

We propose to follow an exhaustive three stage verification process i) internal consistency (first stage) and ii) external consistency (second stage), would be followed by a physical verification (third stage) to confirm and reaffirm the results. The actual methodology would be finalized in consultation with the MSDE and World Bank personnel.<sup>1</sup>

#### Stage I: Internal Consistency

This stage aims at checking the MIS /documents submitted by the MSDE for duplication, gaps, errors in computations etc. This would ensure internal consistency of data. This could also

<sup>1</sup> Internal Consistency implies consistency between the different parts of the same system. External Consistency implies consistency with related parts of the system or with standards out in the world.

include cross verification of the data from various reports or documents that feed into the MIS like state level reports. Tools /software like data extraction tools, graphic /visual representation tools, sampling algorithms, Microsoft Access etc., could be used.

### Stage II: External Consistency

This stage aims at verification of the results for alignment /consistency with other macro level data and indicators like enrollment data for states, expenditure by states on industrial training etc. While the need for such a verification is emphasized, the operationalization of this verification requires a deeper understanding of the context, and hence this would be finalized in consultation with the MSDE.

### Stage III: Physical Verification

In this stage the verification is proposed to be carried out using different methods which are dictated by the nature of the DLIs :

- (a) Field level verification of data using small samples. This would involve field level surveyors contacting the trainees, ITIs etc. This could also include field visits to ITIs. Some aspects of the verification could use telephonic or other digital communication tools.
- (b) Verification using qualitative data: Interviews and focus group discussions with key stakeholders including trainees, employers, ITIs, officials of CFIs, ICs, MSDE and its agencies.

The verification carried out at the three levels would be subject to statistical analysis (wherever applicable), using software packages like SPSS, STRATA or R, to arrive at meaningful implications. In line with the technical approach proposed above, the following activities are identified for each year of the verification exercise. The methodology document elaborates on how the verification would be conducted.

Year 1:

- Literature review on industrial training context and DLI verifications.
- Discussions with key stakeholders from MSDE, World Bank, ITIs, CFIs officials.
- Preparation and approval of the formats for verification reports.
- Inception report would be prepared based on literature review, discussions with key stakeholders and finalization of verification report formats.
- Three stage verification of DLIs.



- Submission of verification reports.

Year II:

- Review of the formats for verification reports based on feedback and comments from key stakeholders.
- Three stage verification of DLIs.
- Submission of verification reports.

Year III:

- Review of the formats for verification reports based on feedback and comments from key stakeholders.
- Three stage verification of DLIs.
- Submission of verification reports.

## B) WORK PLAN

### Outputs and Delivery Schedule (After signing of the contract)

Commencement of activities will start within 2 weeks of signing of the contract and receipt of advance. This will be communicated to the MSDE (client) via email as specified in the contract. The year I, activities will differ from the other years as the detailed work plan and formats for reporting will be agreed upon between the IVA and MSDE while preparing the inception report. During the subsequent years, these will be reviewed and minor modifications if any will be made.

It is expected that the selection of IVA and signing of the contract will be completed by 15<sup>th</sup> February, 2020 and the commencement of activities will happen from 1<sup>st</sup> March 2020. Any delay in the selection of IVA or signing of the contract will extend the timelines.

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**Year I:**

S No	Benchmarks	Activity	Time (in Weeks)
			Tentative
Phase I	Inception Report	Submission of Detailed methodology and Work Plan and formats of reports.	2 weeks
		Approval of Work Plan by the Client.	1 Week
		Submission of the final inception report	1 Week
	Baseline Validation Report	Physically verifying 20% of the number of Implementing Agencies (i.e. State, ITI, IC etc.)	3 month
		Finalizing the draft report and submitting the same to the client.	2 weeks.
		Client to approve /send comments.	1 week
		Submission of the Final Baseline Validation Report	1 Week
Phase II	Verification of DLIs (3 stage verification)	Consolidation and preparation of datasets received from MSDE and other sources for analysis.	4 weeks  This would start from the time the data sets and documents are received from MSDE.
		Verification for Internal consistency /external consistency.	2 weeks
		Physical Verification – field level using sampling	6 weeks
Phase III	Analysis and Submission of First Draft Report	Analysis of data	3 weeks
		First Draft report preparation	2 weeks
		Draft report submission with Recommendations	1 weeks
Phase IV	Updating Draft Report	Clarifications, comments and suggestions from the MSDE.	2 weeks
		Submission of updated final report	2 weeks
Phase V	Approval of Final Report	Finalization and Approval of report.	2 weeks

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निदेशक/Director

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Year 2 & 3:

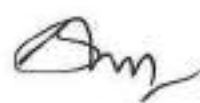
SI No	Benchmarks	Activity	Time (in Weeks) Tentative
Phase I	Review of work plan and formats of reports.	Submission of revised methodology /Work Plan and formats of reports.	2 weeks
		Approval of the revised methodology /work plan and format of reports by the Client.	1 Week
		Submission of the final revised methodology /work plan and format of reports.	1 Week
Phase II	Verification of DLIs (3 stage verification)	Consolidation and preparation of datasets received from MSDE and other sources for analysis.	4 weeks This would start from the time the data sets and documents are received from MSDE.
		Verification for Internal / external consistency	2 weeks
		Physical Verification – field level using sampling.	6 weeks

Phase III	Analysis and Submission	Analysis of data	3 weeks
		First Draft report preparation	2 weeks
		Draft report submission with Recommendations.	1 weeks
Phase IV	Updating Draft Report	Clarifications, comments and suggestions from the MSDE.	2 weeks
		Submission of updated final report	2 weeks
Phase V	Approval of Final Report	Finalization and Approval of report.	2 weeks

List of documents (including reports) that will be delivered as final output will be determined in consultation with DGT, MSDE as per the requirement of MSDE and the World Bank.

### Team Composition (Key Experts)

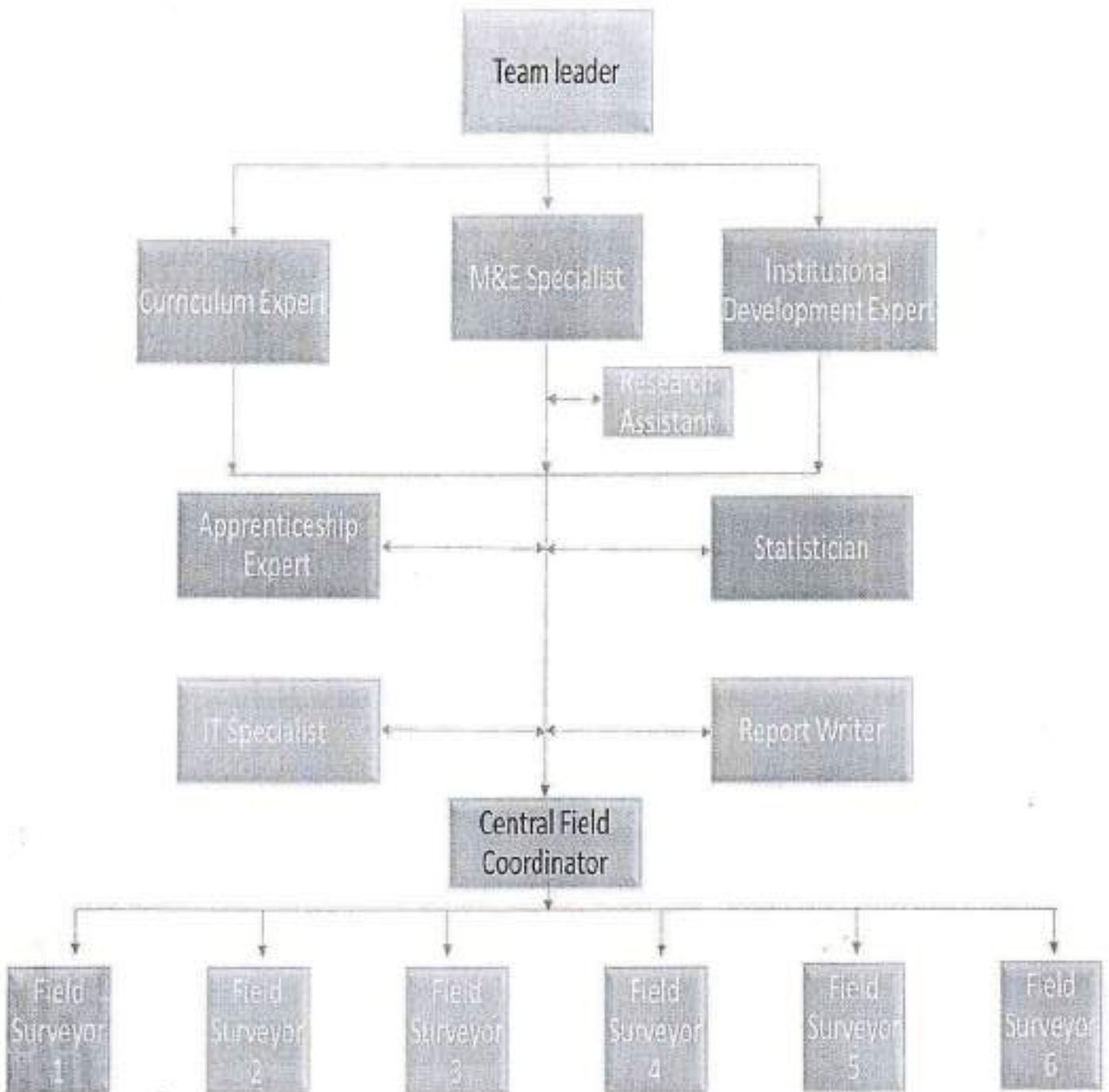
Team leader:	Prof. Himanshu Rai
M&E Specialist:	Prof. Prashant Salwan
Curriculum Expert:	Prof. D.L.Sunder
Institutional Development Expert:	Prof. Shushanta Mishra
Apprenticeship Expert:	Mr. Gopal Singh Jadon
Statistician:	Prof. Pritam Ranjan
IT Specialist:	Mr. Arunendra Vishwakarma
Report Writer:	Mrs. Amrita Baid
Central Filed Coordinator:	Ms. Pooja Sharma





Organization and Staffing:

Team Composition:



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## FORM TECH-5

### WORK SCHEDULE AND PLANNING FOR DELIVERABLES

Workflow Chart (year I)	Weeks																											Total (In weeks)	
	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27		
I Inception Report																													
1) Submission of Detailed methodology and Work Plan and formats of reports.																													
2) Feedback/ Approval of Work Plan by the Client.																													
3) Submission of the final inception report																													
Baseline Validation Report *																													
1) Physically verifying 20% of the number of Implementing Agencies (i.e. State, UT, IC etc.)																													
2) Finalizing the draft report and submitting the same to the client.																													
3) Clarifications, comments and suggestions from the DGT/MSDE.																													
4) Submission of the Final Baseline Validation Report																													
II Verification of DL1 **																													
1) Consolidation & preparation of Data Sets received from DGT/MSDE & other agencies.																													
2) Verification for Internal Consistency/ Duplication																													
3) Physical Verification – Technology enabled/ field level using sampling																													
Analysis and Submission of Draft Verification Report																													
1) Analysis of Data																													
2) First Draft report preparation																													
3) Draft report submission with approval of Client																													
III Preparing Draft Report																													

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## Draft Terms of Reference

### Hiring of consulting services [Firm] for carrying out Third Party 'Independent Verification' of Disbursement Linked Indicators (DLIs) and Project Achievements under Skills Strengthening for Industrial Value Enhancement (STRIVE)

#### 1. Background:

STRIVE is a World Bank assisted national level Government of India program with the objective of improving the relevance and efficiency of skills training provided through Industrial Training Institutes (ITIs) and apprenticeships. STRIVE is implemented by the Ministry of Skill Development & Entrepreneurship (MSDE) through Directorate General of Training (DGT), State Governments, ITIs, Centrally Funded Institutes (CFIs) and Industry Clusters (ICs). It also supports two sub-missions of the National Skill Development Mission (NSDM). Project implementation is scheduled to complete by November 2022

STRIVE project has been designed as a Program for Result instrument which introduces a result based funding approach to achieve the objective of Government of India (GoI). It would allow for improvement of the systems and institutions that are critical to the implementation of the GoI program. The instrument will ensure a sharp focus on the most important results the GoI wants to achieve (that is, improve relevance and efficiency of vocational training), allow for flexibility in the end use of funds by states and training institutions, support the development of state-level capacities to manage ITIs more effectively, incentivize introduction of performance-based management principles, and strengthen output and outcome monitoring. The MSDE will use a performance-based approach to disburse funds to various Implementing Agencies (IAs) like states, ITIs and ICs, mirroring the relationship between the World Bank and the GoI.

The project consists of four results areas as detailed below:

#### Results Area 1: Improved Performance of Industrial Training Institutes

With Performance-Based Grant Agreements (PBGA), Results Area 1 introduces a results based funding approach for ITIs to better address key challenges affecting quality, relevance, and efficiency of training in government and private ITIs. Support will be provided to the selected ITIs through the provision of performance-based grants for the implementation of their Institute Strategic Plans (ISP) to improve accessibility and quality of their skills development programs, and enhance market relevance and efficiency of their operations, through:

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- (a) Deepening industry relations for on-the-job training, industrial exposure of teachers and joint needs assessments;
- (b) Introduction of new courses to respond to local market needs;
- (c) Mobilizing previously underrepresented vulnerable groups by introducing tailored services;
- (d) Strengthening pedagogical approaches for soft skills development;
- (e) Strengthening employment promotion activities for graduating students;
- (f) Introducing income-generating activities for enhanced institutional sustainability;
- and
- (g) Improving facilities and management thereof.

The scheme for ITIs will be managed at the State level, and benefitting ITIs will be competitively selected in each state by the respective state governments based on defined selection criteria and through a standardized, transparent selection process. The process to be followed for the ITI selection has been detailed in the Operations Manual of the STRIVE Project. Funding agreements will be based on the procurement plan detailed in the ISPs, and the Key Performance Indicators (KPI) in the operations manual will serve as financing triggers for disbursement under the PB Grant Agreement (share of students undergoing OJT, share of female students, enrollment increase and graduate increase).

Three DLIs have been identified to incentivize reforms for increased access to labor market-relevant training programs and stronger emphasis on industry exposure of students and on inclusion of female youth:

- Increase in the number of graduates from ITIs that have signed PB Grant Agreements (DLI 1);
- Improvement in industrial training and employment outcomes for trainees and graduates of ITIs that have signed PB Grant Agreements (DLI 2); and
- Increase in female enrollment rate in ITIs with signed PB Grant Agreements (DLI 6).

## **Results Area 2: Increased Capacities of State Governments to Support Industrial Training Institutes and Apprenticeship Training**

Under this results area, STRIVE aims to improve the overall operational environment of ITIs and apprenticeship programs at the state-level through the provision of performance-based funding agreement (PBFA) to states adopting policy-related and programmatic interventions aimed at:





- (a) Increasing financial and administrative autonomy of ITIs;
- (b) Establishing and implementing management information systems aligned with the NCVT's requirements, including the carrying out of tracer studies and timely transmission of management information;
- (c) Implementing a centralized admission system for ITIs;
- (d) Reducing teacher's vacancy rates; (e) facilitating industry training for teacher in ITIs;
- (f) Undertaking policy reforms in the areas of ITI examinations, promoting vertical progression from ITI training; implementation of dual training trades, and career progression of ITI trainers.

Commitment of state governments to undergo these reforms is essential to improve the operational space of ITIs. Therefore, the performance-based funding contract between the state and the central government is a precondition for the state governments to receive funding for the ITI PB Grant Agreement Scheme in their states.

State-level reforms especially in the critical fields of teacher management and monitoring are incentivized by two DLIs:

- Reduction in ITIs' trainer vacancies (DLI 3) and
- Number of Participating States that have conducted tracer studies (DLI 4).

### Results Area 3: Improved Teaching and Learning

This results area aims at modernizing existing Teaching and Learning (TL) materials/resources for skills development to improve the quality of learning through the use of modern ICT solutions to be made available to ITIs, as well as the adaption of teaching and learning curricula and assessment procedures. To improve TL for CTS and CITS programs and basic apprenticeship modules, activities under STRIVE will focus on the development and implementation of instructionally effective educational materials packages including printed materials for students and teachers, structured assessment activities, video demonstrations, simulations, and computer-based interactive self-assessment activities. 'Soft' skills development will be systematically integrated, and materials will be designed for inclusive education. The new tools will be introduced and piloted in selected trades, to be selected by the MSDE on the basis of their economic importance and enrolment potential. The result areas also involves supporting the professional development of ITIs' teaching staff and principals through the design and development of a comprehensive professional development eco-system in the skills development sector, with a strong focus on technology-based solutions, including:



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- (a) upscaling of ICT-enabled educational resources for teachers' pre- and in-service training schemes; and
- (b) upgrading selected teacher training institutions into multi-purpose resource centers equipped with state of the art technology, complemented by master training initiatives; and
- (c) the strengthening of NIMI and CSTARI to undertake curriculum design and design of course and course materials.

Technology-supported TL resources will broaden access to high-quality training in remote areas.

One DLI was identified to incentivize the systematic introduction of modern resource based learning in the skills development space, which also requires comprehensive capacity building for the design, production, and application of modern TL materials:

- Improvements in training of trainers (DLI 3).

#### Results Area 4: Improved and Broadened Apprenticeship Training

This results area aims at modernizing the GoI's apprenticeship training systems, through the provision of Industry Apprentice Initiative (IAI) grants to industry clusters (ICs) for the development and implementation of apprenticeship programs that increase the influence of industry, in particular SMEs, in defining the programs' contents, and strengthening their cooperative delivery modes. IAIs are apprenticeship development projects driven by stakeholders with the joint interest of improving ongoing apprenticeship training and/or introducing new or improved apprenticeship programs.

IAIs will be facilitated and managed by industry cluster organizations, which will also be the formal partner in the grant agreement with the Government. Grant funding can be used to cover the costs involved in:

- (a) setting up new or revising existing apprenticeship training programs in line with the specific needs of the participating firms (including development of curricula, enterprise training plans, TL material, assessment mechanism);
- (b) Capacity development (including infrastructure) of basic training providers (apprenticeship training schools run by ICs, ITIs, or other third-party basic training providers);
- (c) Initiatives to establish and raise the standards of quality assurance of apprenticeship training with the participation of industry experts;

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- (d) Training of trainers (that is, company supervisors of apprentices and trainers in basic training institutions) and other stakeholders; and
- (e) Other costs necessary to improve and expand needs-based apprenticeship training within IAI firms as detailed in the operations manual of the STRIVE.

IAIs to be supported will be identified in a competitive and transparent selection process. The initial phase of selection of 10 IC would be a pilot phase with a mix of nomination and competitive selection for the ICs, i.e. at least 3 ICs would be nominated by each state from which 1 or more IC would be competitively selected basis the IC application form submitted (Detailed process has been incorporated into the operations manual of the STRIVE project). Grant conditions will specifically incentivize enrollment of young women and other currently underrepresented groups, such as STs.

STRIVE will also incentivize the MSDE to initiate critical system reforms. STRIVE will include capacity building activities and communication campaigns to:

- (a) Strengthen capacity of government and industry stakeholders to design and undertake apprenticeship training;
- (b) Raise awareness and understanding about apprenticeship training among industry, communities, training providers and political decision-makers;
- (c) Encourage dual apprenticeship delivery approaches;
- (d) Improve quality assurance mechanisms both in basic training provision and company training, and
- (e) Increase employers' participation in apprenticeship programs.

Two disbursement linked indicators (DLIs) have been defined to incentivize engagement of ICs in apprenticeship training, as well as inclusion of female students:

- Number of ICs that have introduced at least 2 different apprenticeship programs within their participating (member) industries (DLI 5); and
- Increase in female enrollment rate in ICs receiving IAI Grants (DLI 6).

### **Monitoring of the STRIVE Project**

The outputs under STRIVE will be monitored annually through the Results Framework (RF) and are therefore aligned with the Disbursement Linked Indicators (DLI) matrix of STRIVE. Overall program monitoring at the national level is the responsibility of the National Project Implementation Unit (NPIU) housed in the Directorate General of Training (DGT), Ministry of







Skill Development & Entrepreneurship (MSDE), GOI. The NPIU will also monitor the progress of the program

The Monitoring of results achieved under result areas 1, 2 & 3 will vest with both, the State Project Implementation Units (SPIUs) as well as the NPIU.

## 2. Objective:

The objective of this assignment is to engage an Independent Verification Agency (“IVA” called as “Consultant”) to verify the performance of the program on Program for Result (PforR), Disbursement Linked Indicators [DLIs] and project achievements. This task needs to be carried out by the consultant on an annual basis.

The selected consultant is expected to engage with various listed stakeholders but not limited to: State/ UT Governments, State Project Implementation Unit (SPIU), Industrial Training Institutes (ITIs), Centrally funded Institutes (CFIs) including National Instructional Media Institute (NIMI) and Central Staff Training and Research Institute (CSTARI), Regional Directorates for Skill Development and Entrepreneurship (RDSDE), Industry clusters (ICs)/ Industry Apprenticeship Initiatives (IAIs) and State Apprenticeship Monitoring Cells (SAMC), under the overall direction of National Project Implementation Unit (NPIU) to ensure verification of specific outputs in agreed areas.

For the verification of results, the Consultant will be expected to carry out the assignment with detailed outline of methodology, sample design, data collection protocol, data collection tools which will be intended to verify the achievement of specific targets aligned with the DLIs.

The information collected under the aegis of DGT by the IVA will serve as the data source for assessing progress towards the DLIs.

## 3. Time period of the assignment:

The Independent Verification Agency (IVA) selected to carry out this assignment will be engaged for a period of 2 years and the assignment may be extended until program completion period based on satisfactory performance on an annual basis and progress of the scheme.

## 4. Scope of Services:

The Independent Verification Agency (IVA) selected to carry out this assignment will be engaged for a period of 2 years and the assignment may be extended until project completion period based on satisfactory performance on an annual basis and progress of the project.

  
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The specific scope of Services would include:

- a) Carrying out an independent verification of achievement of the DLIs reported by DGT for each disbursement claim under the Program, based on the Verification Protocol agreed between MSDE and the World Bank as detailed in the Annexure IV; and
- b) Preparing and submitting independent and comprehensive verification reports to DGT with a copy to the World Bank for DLI achievement reports for each disbursement claim prepared by DGT in the form and substance acceptable to DGT and the World Bank. It is to note that the World Bank Team would carry out the verification of towards the achievement of DLIs/DLRs for the year 1 DLI as stated in the Project Appraisal Document (PAD) and Annexure III. The World Bank team will also ensure all knowledge transfer related to year 1 DLI verification to the selected consultant.

The IVA will verify the DLIs as per the agreed terms, through desk, paper and physical inspection to confirm the accuracy and quality of results and eligible disbursement amounts claimed by the DGT in its supporting documentation with each disbursement claim. In accordance with good audit practice, verification will take place against a sampling framework and frequency, described in detail in the Verification Protocol as given below at point 3.1.2.

The Program has six specific DLIs as follows:

**DLI-1:** Increase in the number of graduates from ITIs that have signed Performance-Based (PB) Grant Agreements.

**DLI-2:** Improvement in industrial training and employment outcomes for trainees and graduates of ITIs that have signed PB Grant Agreements.

**DLI-3:** Reduction in ITIs' trainer vacancies and improvements in training of trainers.

**DLI-4:** Number of Participating States that have conducted tracer studies.

**DLI-5:** Number of Industry Clusters (ICs) that have introduced at least 2 different apprenticeship programs within their participating (member) industries.

**DLI-6:** Increase in female enrolment rate in ITIs with PB Grant Agreements and ICs receiving Industry Apprenticeship Initiative (IAI) Grants.

The report of the IVA will cover the verification of various DLIs across all the above mentioned four result areas of STRIVE. Additionally, for determining the sample size, the minimum Confidence Level of 95% and P-Value of 5% and/or Sample Error  $\pm 5\%$  need to be followed.



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For DLIs 1, 2 and 6, the IVA will validate the data on the number of graduates (% increase from baseline), number of trainees undergoing On-the-Job Training (OJT) (% of trainees enrolled in that academic year undergone OJT), employment outcomes of ITI graduates (% of trainees graduated from ITIs in gainful employment one year after graduation) and female enrollment in all the ITIs that have signed PB Grant Agreements (% of female trainees enrolled in ITIs for that academic year). The IVA will validate the progress reported by the ITIs on the aforementioned indicators on a sample basis. The sample size would be selected such that all the participating ITIs would be covered at least once over the project duration. The IVA may need to travel to ITIs to verify achievement on one or more of these indicators.

For DLIs 3 and 4, the IVA will verify the data submitted by the states on the reduction in vacancies of trainers (% reduction in vacancies of sanctioned trainers' posts in government ITIs as compared to baseline numbers) and the number of participating states who have conducted tracer studies. For verification of reduction in vacancies, the IVA will also include the number of trainers engaged in contractual and/or guest faculty mode (to be engaged for more than 6 months in a year), apart from regular trainers. The progress of the indicator will be reported by the participating States to DGT and the same will be validated by IVA on sample basis. For verification of completion of tracer study by any state, the IVA will check the methodology and sample size of the study along with approval of state level competent authority.

Further, for DLI 3, the IVA will also verify the roll-out of blended mode of learning under Craft Instructors Training Scheme (CITS) trades in National Skill Training Institute (NSTI) formerly known as Advanced Training Institute (ATIs) on a sample basis. The IVA will verify the methodology of upgradation of the selected trades and adoption of these trades in selected NSTIs including the pedagogy of the trades.

For DLIs 5 and 6, the IVA will verify all the data available with State Directorate/Regional Directorate of Skill Development and Entrepreneurship (RDSDE) on the number of participating ICs and female enrollment in apprenticeship programs run by these ICs. The targets of DLI 5 are envisaged to be achieved before the on-boarding of the agency for the assignment and hence, the verification of the same will be carried out by the World Bank Team. The IVA will verify female participation in ICs under their respective apprenticeship programs (*% of female trainees enrolled in that academic year*).

The IVA will develop a detailed verification protocol that builds on the verification protocol contained in the Program Appraisal Document [PAD]<sup>1</sup> for collecting and processing of data required for assessment and validation of key performance data against achievements of DLIs.

  
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### 3.1 Approach and Methodology:

#### 3.1.1 Approach:

The IVA needs to conduct study and prepare a report on the findings related to the achievement of physical targets.

In this connection, the IVA has to prepare and submit detailed methodology for data collection which includes, *inter alia*, sample design, sample size, data collection, reach out plan and data analysis procedure, with focus on the activities pertaining to the Disbursement Linked Result [DLR] and DLIs of STRIVE. The World Bank team, who will be carrying out the verification of the results till the selected agency is on-boarded, will share their methodology with the selected consultant as a part of knowledge transfer to the incoming agency.

While preparing such a methodology; the IVA has to justify rationale behind choosing the sample ensuring adequate representation of the States/SPIUs, ITIs and ICs. These documents including templates need to be shared with DGT and World Bank team for their review and due approval has to be obtained from DGT. The IVA should ensure that data and information collected for the process can be used for further reliability and verification checks.

#### 3.1.2 Methodology:

The IVA, in order to verify the DLRs and DLIs on progress and process, needs to consider a representative sample taking into consideration all the participating States/SPIUs, Union Territories and program implementing units covered under STRIVE. The indicative universe for the purpose of verification comprises of 36 States & UTs (SPIUs including SAMCs), two Central Field Institutes, 500 ITIs (400 Government and 100 Private), and 100 ICs (Annex-I and II).

In this process, all the program implementation units have to be covered at least once in a phased manner during the assignment period of two years (two years plus one year extension subject to satisfactory performance). It is thus envisaged that half of the total program implementation units might be covered in each year of contract. Whilst following this process, appropriate distribution and representation of all the program implementation units mentioned have to be ensured by the IVA. In the process of selecting the sample size, the IVA needs to exclude the implementation units already visited by the World Bank team in their verification till the agency is on-boarded.

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<sup>1</sup> <http://projects.worldbank.org/P156867?lang=en&tab=documents&subTab=projectDocuments>





In this connection, the IVA needs to select the States and UTs/SPIUs, SAMCs, ITIs and ICs for each cycle by adopting appropriate statistical significance sample size determination method. In order to determine the sample size, the minimum Confidence Level of 95% and P –Value of 5% and/or Sample Error  $\pm 5\%$  needs to be followed.

The IVA needs to develop a scientific verification protocol to ensure data quality assurance pertaining to the DLR under each disbursement claim satisfying the DLIs outlined for the purpose. Prior to implementation, approval on the same need to be sought from the DGT and the World Bank.

The purpose of such physical verification of progress and achievements by NPIU, SPIU, ITIs and ICs is to validate operational performance parameters outlined under the program through field inspections and surveys, as required. The verification of the financial performance will also be carried out by the IVA on the line of activities outlined to achieve the DLIs.

Inspection and verification (on-site) of the data and support document/evidence provided by the NPIU, SPIUs, ITIs and ICs will also be taken up by the IVA. Interviews and discussions with the trainees, trainers, personnel associated in implementation of the program and other stakeholders, where necessary might be undertaken on a sample basis. The IVA may have to travel across participating implementation units for verification related purposes.

The IVA needs to carry out any other relevant activities as assigned and relevant for verification under STRIVE.

**(i) The basis for the verification by the IVA would include, but would not be limited to the following:**

- a. The DLI Verification Protocol agreed between MSDE and the World Bank and the verification plan that will be prepared by IVA for each DLI for each disbursement claim as per Annexure III.
- b. The project manuals and implementation plan provided by DGT
- c. Project monitoring reports.
- d. Report by the World Bank team on verification and achievement of DLIs/DLRs till the selected agency is on-boarded
- e. Any contracts entered between any of the project implementing entities and third parties.
- f. Physical on-site verification, interviews and discussions with beneficiaries and other stakeholders.
- g. Other relevant documents provided by DGT from time to time.

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(ii) **The methods and tools used in the assessment may include a combination of the following:**

- a. Literature Review: The IVA needs to review documents and literature available and relevant to accomplish the verification objectives. These documents may be the PAD document of World Bank, Manuals and any other related documents/reports/literatures.
- b. Key Informant Interviews (KIIs): KIIs are suggested to be conducted with key stakeholders, including Ministry of Skill Development & Entrepreneurship (MSDE), National Project Implementation Unit (NPIU) of Directorate General of Training (DGT), State Project Implementation Unit (SPIU) World Bank, ITIs, state societies, employers, industry representatives associated with particular ITI, trainees), Industry clusters (ICs) and State Apprenticeship Monitoring Cells (SAMC). While doing so, the IVA should have adequate representation of all the stakeholders, including those of the ITIs who have signed PB Grant Agreement, and ICs.
- c. Validation of project MIS reports: ITIs, ICs, SPIUs and SAMCs along with other stakeholders will report project performance through NCVT and NSDC apprenticeship MIS portal. The responsibility of the IVA is to verify and validate the reported data on sufficiently large and statistically significant sample method.
- d. The IVA will collect quantitative data and information from the ITIs, States and ICs for verification purpose. Likewise, the qualitative data and information such as photographs, videos, case studies, and success stories etc., uploaded in the MIS portal will also be validated by the IVA. The results of the qualitative studies may be triangulated with the quantitative findings to draw conclusions relating efficiency, effectiveness, constraints and risks related to the various DLIs, DLRs of the STRIVE

### 3.2 DLI wise description of deliverables

DLI wise description is shared as Annexure III and Annexure IV.

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Scalability of various DLIs is as follows:

DLI No	DLI Description	Scalability of Disbursements (Yes/No)
1	Increase in the number of graduates from ITIs that have signed PB Grant Agreements	<ul style="list-style-type: none"> <li>• Year 1: Yes</li> <li>• Year 2 onward: No</li> </ul>
2	Improvement in industrial training and employment outcomes for trainees and graduates for ITIs that have signed PB Grant Agreements	No
3	Reduction in ITIs' trainer vacancies and improvements in training of trainers (i) Number of participating states who have reduced the vacancies of sanctioned trainer posts by at least 20% in government ITIs compared with vacancies in academic year 2017-18 (ii) Upgradation and roll out of four CITS trades	<ul style="list-style-type: none"> <li>• (i) Yes</li> <li>• (ii) Yes</li> </ul>
4	Number of Participating States that have conducted tracer studies	Yes
5	Number of ICs that have introduced at least 2 different apprenticeship programs within their participating (member) industries	Yes
6	Increase in female enrollment rate in ITIs with PB Grant Agreements and ICs receiving IAI Grants (i) Increase in female enrolment across ITIs with signed PBGAs (ii) Female enrolment in ICs receiving IAI grants	<ul style="list-style-type: none"> <li>• (i) No</li> <li>• (ii) Yes</li> </ul>

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DLIs, which will be achieved from year 2 onwards as per the DLI table, will be verified by the IVA and the verification report will be submitted to DGT with a copy to the World Bank along with supporting documentation to enable it to report the achieved results to the World Bank. The verification report format might be revised, if required, based on the outcomes of the first verification process and reporting.

DLI Verification Protocol table is shared as Annexure IV

**4. Team Composition, Minimum Qualification Requirements for the Key Experts (and any other desirable requirements which will be used for evaluating the Key Experts)**

DGT will assess the demonstrated experience and capacity of interested consulting firms applying for this assignment for credible verification. The assignment requires a firm with experience in results-based programs financed by the government and/or externally aided projects in skills and other allied sector, including but not limited to apprenticeship programs, on-the job training programs and distant learning, use of IT/ICT in supporting similar programs, program management, procurement and financial management, and experts in fiduciary, social, environment and other scheme operational performance aspects.

The IVA will be expected to deploy sufficient amount of manpower required to successfully deliver the tasks to ensure credible verification. An indicative manpower requirement for the assignment duration of two years must include Key Experts of suitable qualifications and experience for the key positions as tabulated below.

**Table 1 Minimum Qualification and Indicative Experience of Key Experts**

S.no.	Key Position	Nos.	Minimum Qualification and Indicative Professional Experience Desired	Indicative Estimated Man Months
K1	Team Leader <i>Represent IVA in meetings at national Level. Plan, supervise and manage the</i>	1	Masters in Economics or Statistics (or a similar qualification) from a reputed University. Professional with experience of at least 15 years, and with strong	Equivalent to 3 person months per year

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S.no.	Key Position	Nos.	Minimum Qualification and Indicative Professional Experience Desired	Indicative Estimated Man Months
	<i>coordination of entire assignment</i>		background in project management, independent verification, data collection, data analysis, monitoring, and evaluation. Exceptional leadership skills to manage diverse stakeholders related to managing and imparting training in skill eco system and lead clients. Experience of working on externally aided projects preferred. S/he should have about 10 years of demonstrated experience in assessment and/or evaluation of development sectors programs (preferably vocational education) (required). The incumbent should have experience in managing projects involving quantitative data collection, questionnaire design and large-scale surveys with a large geographic spread. Exposure to randomized control trials, propensity score matching, regression, and design effects is preferred.	
K2	Monitoring & Evaluation (M&E) Specialist	1	Masters in Business Administration with engineering background from a reputed University, and more than 10	Equivalent to 3 person months per year

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S.no.	Key Position	Nos.	Minimum Qualification and Indicative Professional Experience Desired	Indicative Estimated Man Months
	<i>Assist in designing the template for information from stakeholders required for assignment and further evaluate the program outcomes</i>		<p>years of relevant experience in labor market issues and M&amp;E.</p> <p>The expert should have the experience of designing and conducting rigorous surveys of development technical and vocational education and training (TVET) projects. Experience in conducting tracer studies and impact evaluation of large scale national / state level projects of Govt. of India or State Govt.</p> <p>7 years of experience in monitoring and evaluation of development programs in areas of vocational education/skill development managed and imparted by large public/private establishments. Proficiency in using statistical analysis software, such as STATA, SPSS, and MS Excel. Qualitative data analysis software (such as QSR) will be added advantage.</p>	
<b>K3</b>	Apprenticeship Expert <i>Assist team in verification of</i>	1	Post-Graduation or equivalent with at least 08 years' experience of working with organizations dealing with Apprenticeship Training & hiring of apprentices. Knowledge of	Equivalent to 3 person months during 2 years

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S.no.	Key Position	Nos.	Minimum Qualification and Indicative Professional Experience Desired	Indicative Estimated Man Months
	<i>apprenticeship related DLIs</i>		apprenticeship system in India including apprenticeship Act, 1961 and further amendments. Experience of working with industry/industry associations/ industry clusters	
K4	Curriculum Expert <i>Assist team in verification of curricula specific DLIs</i>	1	Post-graduation or equivalent with at least 8 years of experience of developing curricula for vocational training in different sectors	Equivalent to 3 person months during 2 years
K5	Institutional Development Expert <i>Assist team in verification of professional development specific DLIs</i>	1	Bachelor's degree in engineering with at least 8 years of experience of working on national level / state level projects in the skill development / vocational education sector with the Government and private sector	Equivalent to 3 person months during 2 years
K6	IT Specialist <i>Plan and supervise consolidation, concurrent validation, processing and analysis of data</i>	1	B.E./B. Tech./MCA with 6-10 years of experience in MIS development and management especially in large-scale monitoring and evaluation projects.	Equivalent to 2 person months per year
K7	Statistician <i>Assist the team in determination of</i>	1	Master's degree in Statistics from reputed University having at least 5 years of relevant experience in	Equivalent to 2 person months per year

S.no.	Key Position	Nos.	Minimum Qualification and Indicative Professional Experience Desired	Indicative Estimated Man Months
	<i>sample size, sample design, design of study tools, data analysis using STATA, SPSS and other statistical software.</i>		designing and conducting evaluation studies, tracer studies, large scale surveys and doing empirical research are required.	
K8	Report Writer <i>Producing professionally edited and formatted reports in form and substance acceptable to MSDE and World Bank</i>	1	Master's degree in English, Journalism, or Mass Communication from a reputed University with more than 5 years of relevant work experience in report writing. S/he will edit drafts of reports prepared by the IVA.	Equivalent to 2 person months per year
K9	Central Field Co-ordinator <i>Assist the team in planning field visits and co-ordinating with field surveyors to ensure timely completion of assignment</i>	1	Master's degree in Social Work, Rural Management, Economics, or other relevant discipline from reputed University. H/she should have more than 6 years' experience of working as a field coordinator in any Independent Verification Agency (IVA). Should have experience of conducting and supervising surveys, studies of similar nature.  S/he should have experience in supervising data collection, analysis and man management.	Equivalent to 3 person months per year

S.no.	Key Position	Nos.	Minimum Qualification and Indicative Professional Experience Desired	Indicative Estimated Man Months
			Should be fluent in English and Hindi with excellent English writing, spoken and presentation skills.	

Table 2 Minimum Qualification and Indicative Experience of Non-Key Experts

Sl.No.	Position	Nos.	Minimum Qualification/Indicative Experience	Indicative Estimated Man Months
NKI	Field Surveyors [i] Assist central field coordinator in planning out and conducting the surveys. [ii] Assist in collecting required field data	5	(i) Preferably with a degree in Social Work, Rural Management, Economics, Engineering or other relevant discipline and more than 3 years' experience of conducting surveys. [ii] Prior knowledge of surveying and collecting data in skill eco system will be preferable.	Equivalent to 3 person months per year for each position

While evaluating Technical proposals, CVs of the Key Experts proposed by the Consultant will be evaluated with respect to the indicative qualification and experience specified for each position in the above table 1.

## 5. Reporting Requirements and Time Schedule for Deliverables

a The IVA shall carry out the assignment under the overall supervision of MSDE. However, day-to-day coordination of activities for the verification process shall be managed and coordinated by NPIU under MSDE.

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b. The MSDE, DGT, NPIU and SPIU representatives shall provide the IVA with relevant data and documents necessary to verify DLI achievements and shall ensure that it has access to all project sites and locations.

c. The IVA shall submit the following reports to DGT, with a copy to the World Bank as per timelines stipulated below :

1. Develop and furnish to DGT and World Bank an **Inception report (for DLI verification)** in 2 Parts within one month of contract signature and prior to commencement of verification process.
  - (i) Part 1 will cover tech-enabled templates in which it seeks input data from DGT that is to be verified by the IVA.
  - (ii) Part 2 will contain its own verification plan for each DLI. Verification plan will include detailed work plan with staffing and verification arrangements proposed by IVA for each DLI that would be claimed by DGT for each disbursement claim for verification. This will also cover IVA's team composition, names of sites and offices that would be visited, agreed days and dates for each visit, details of the field survey to be carried out by the IVA, coordination and logistics arrangements needed by IVA and output formats for each site visit that will go in the IVA's verification report. IVA will seek DGT approval of such verification plan included in the Inception Report.
2. Develop and furnish to DGT and World Bank **baseline verification reports for DLIs** (single report covering all relevant DLIs for the baseline year 2017-18) in the form and substance acceptable to DGT and World Bank. The consultant needs to ensure that 20% of the number of Implementing Agencies (i.e. State, ITI, IC etc.) are physically verified while submitting the baseline report.
3. Develop and furnish to DGT and World Bank **annual verification reports for DLIs starting from Year 2 in Annexure III** (single report covering all relevant DLIs for that particular year) in the form and substance acceptable to DGT and World Bank.
4. Submit an '**assignment completion report**' containing summary of work done and suggestions for strengthening the verification protocol and process for future use by DGT and World Bank. The report shall be in the form and substance acceptable to DGT and World Bank.

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d. Deliverable and Deadlines

Task Deliverables Number	Task Deliverables	Description	Deadline
1.	Inception report (inclusive of approved verification plan)	Refer para 5.c. 1 of ToR	T <sub>0</sub> + 1 month
2.	Baseline Validation Report	Refer para 5.c. 2 of ToR	T <sub>0</sub> + 4 month
2.	DLI Verification Report for Year-2 according to Annexure III (FY 19-20)	The IVA is required to carry out verification against each DLI claim as and when asked by MSDE. It is envisaged the number of such verification exercise will not exceed more than two times in a year with prior intimation of mutually agreed sufficient time period by DGT, MSDE. Each report would cover the verification of all 6 DLI verification for that particular year as per DLI verification protocol.	Report to be prepared and submitted to DGT with a copy to the World Bank within 30 days of verification of all relevant DLIs each year.
3.	DLI Verification Report for Year-3 according to Annexure III (FY 20-21)		
4.	DLI Verification Report for Year-4 according to Annexure III (FY 21-22) – Subjected to extension of the contract		
5.	Assignment completion report		

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## 6. Client's Input and facilities to be made available to the consultant by the client:

- i. Give access to all the required documents, correspondence and any other information associated with the project and assignment, as felt necessary by DGT in discussion with IVA.
- ii. Provide administration support in coordination with States to facilitate timely implementation of the assignment

## 7. Composition of review committee to monitor consultants work

DGT will appoint a senior person during contract negotiation who will monitor and coordinate the study activities of the IVA. The designated person will closely follow up with IVA and provide necessary guidance during the assignment. The designated person would provide all the necessary support to IVA and ensure access to ITIs, ICs, enterprises and other stakeholders. This support includes provision of relevant information and documents, facilitation of contact to ITIs, enterprises and other stakeholders, and organization of meetings.

## 8. Reporting Progress:

The IVA needs to prepare a detailed action plan and submit progress report to DGT, with a copy to World Bank, on a regular basis at timelines mutually agreed with the DGT. The progress reports should highlight the progress on assignment and various issues concerning efficient and timely execution of the assignment. In case of any deviation in the actual progress of the approved program, the IVA shall produce, at the request of DGT, a revised work plan and staff as required to ensure completion of the assignment within the stipulated time for completion.

## 9. Copyright

All materials and documentation during the assignment will be the sole property of DGT.

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**Annexure I**

**Number of Institutions involved**

	<b><u>Government</u></b>	<b><u>Private</u></b>	<b><u>Total</u></b>
<b>States &amp; UTs / SPIUs</b>	36	-	36
<b>SAMCs</b>	36	-	36
<b>ITI</b>	400	100	500
<b>IC</b>	-	100	100

**Annexure II**

**List of States and UTs under STRIVE**

<b>Sl. No</b>	<b>Name of States &amp; UTs</b>
1	Andhra Pradesh
2	Arunachal Pradesh
3	Assam
4	Bihar
5	Chhattisgarh
6	Delhi
7	Goa
8	Gujarat
9	Haryana
10	Himachal Pradesh
11	Jammu and Kashmir
12	Jharkhand
13	Karnataka
14	Kerala

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Sl. No	Name of States & UTs
15.	Madhya Pradesh
16.	Maharashtra
17.	Manipur
18.	Meghalaya
19.	Mizoram
20.	Nagaland
21.	Orissa
22.	Punjab
23.	Rajasthan
24.	Sikkim
25.	Tamil Nadu
26.	Telengana
27.	Tripura
28.	Uttar Pradesh
29.	Uttarakhand
30.	West Bengal
31.	Andaman and Nicobar Islands
32.	Chandigarh
33.	Dadra and Nagar Haveli
34.	Daman and Diu
35.	Lakshadweep
36.	Puducherry

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**Annexure III Disbursement Linked Indicator Matrix**

<b>DISBURSEMENT-LINKED RESULTS</b>					
<b>Disbursement Linked Indicators</b>	<b>Results to be achieved in Year 1</b>	<b>Results to be achieved in Year 2</b>	<b>Results to be achieved in Year 3</b>	<b>Results to be achieved in Year 4</b>	<b>Results to be achieved in Year 5</b>
<b>1. Increase in the number of graduates from ITIs that have signed PB Grant Agreements</b>	At least 200 ITIs have signed PB Grant Agreements with MSDE*	The number of graduates in the academic year for ITIs that have signed PB Grant Agreements has increased by 5% compared with graduates in academic year 2015/16*	The number of graduates in the academic year for ITIs that have signed PB Grant Agreements has increased by 10% compared with graduates in academic year 2015/16*	The number of graduates in the academic year for ITIs that have signed PB Grant Agreements has increased by 15% compared with graduates in academic year 2015/16*	The number of graduates in the academic year for ITIs that have signed PB Grant Agreements has increased by 20% compared with graduates in academic year 2015/16*

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**DISBURSEMENT-LINKED RESULTS**

Disbursement Linked Indicators	Results to be achieved in Year 1	Results to be achieved in Year 2	Results to be achieved in Year 3	Results to be achieved in Year 4	Results to be achieved in Year 5
2. <i>Improvement in industrial training and employment outcomes for trainees and graduates of ITIs that have signed PB Grant Agreements</i>		At least 5% of trainees enrolled in academic year 2018/19 across ITIs that have signed PB Grant Agreements have undergone OJT	At least 10% of trainees enrolled in academic year 2019/20 across ITIs that have signed PB Grant Agreements have undergone OJT	At least 15% of trainees enrolled in academic year 2020/21 across ITIs that have signed PB Grant Agreements have undergone OJT	At least 65% of trainees graduated in academic year 2019/20 from ITIs that have signed PB Grant Agreements are in gainful employment one year after graduation.




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<p><b>3. Reduction in ITIs' trainer vacancies and improvements in training of trainers</b></p>	<p>MSDE has developed a sustainability plan for the recruitment, training and career progression for ITIs trainers*</p>	<p>At least 3 Participating States have reduced the vacancies of sanctioned trainers' posts by at least 20% in government ITIs compared with vacancy numbers in academic year 2015/16*</p>	<p>(i) At least 5 Participating States have reduced the vacancies of sanctioned trainers' posts by at least 20% in government ITIs compared with vacancy numbers in academic year 2015/16* and</p> <p>(ii) NIMI has upgraded at least 2 CITS trades and NCVT has rolled them out*</p>	<p>At least 7 Participating States have reduced the vacancies of sanctioned trainers' posts by at least 20% in government ITIs compared with vacancy numbers in academic year 2015/16*</p>	<p>(i) At least 10 Participating States have reduced the vacancies of sanctioned trainers' posts by at least 20% in government ITIs compared with vacancy numbers in academic year 2015/16*; and</p> <p>(ii) NIMI has upgraded at least 4 CITS trades and NCVT has rolled them out*</p>
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**DISBURSEMENT-LINKED RESULTS**

Disbursement Linked Indicators	DISBURSEMENT-LINKED RESULTS				
	Results to be achieved in Year 1	Results to be achieved in Year 2	Results to be achieved in Year 3	Results to be achieved in Year 4	Results to be achieved in Year 5
4. <i>Number of Participating States that have conducted tracer studies</i>			At least 4 Participating States have conducted tracer studies and published their results*	At least 7 Participating States have conducted tracer studies and published their results*	At least 10 Participating States have conducted tracer studies and published their results*

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डॉ. हिमंशु राव/Prof. Himanshu Rai  
 निदेशक/Director  
 भारतीय प्रबंधन शि्षार  
 Indian Institute of Management Indore  
 रासु/Prabandh Shikhar  
 ४३-४११३३ रासु, इंदोर- ४५३५५६  
 Rasu-Pithampur Road, Indore- 453556  
 रा. प्र., भारत/India

B



**DISBURSEMENT-LINKED RESULTS**

Disbursement Linked Indicators	Results to be achieved in Year 1	Results to be achieved in Year 2	Results to be achieved in Year 3	Results to be achieved in Year 4	Results to be achieved in Year 5
5. <i>Number of ICs that have introduced at least 2 different apprenticeship programs within their participating(member) industries</i>	(i) MSDE has developed and approved/adopted the Operations Manual for the IAI Grant mechanism*, and (ii) At least 8 ICs, that have enrolled apprentices under the IAI Grant mechanism, have each introduced at least 2				

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डॉ. हिमंशु राय/Prof. Himanshu Rai  
 निदेशक/Director  
 भारतीय प्रबंधन शिक्षण संस्थान  
 Indian Institute of Management Indore  
 राज-प्रबन्धन शिक्षण संस्थान  
 राज-प्रबन्धन शिक्षण संस्थान  
 राय-पिथम्पुर रोड, इंदौर- 453558  
 इ. इ., मध्य प्रदेश, इंडिया

DISBURSEMENT-LINKED RESULTS					
Disbursement Linked Indicators	Results to be achieved in Year 1	Results to be achieved in Year 2	Results to be achieved in Year 3	Results to be achieved in Year 4	Results to be achieved in Year 5
6. Increase in female enrollment rate in ITIs with PB Grant Agreements and ICs receiving LAI Grants	(i) Female enrollment across ITIs with signed PB Grant Agreements during academic year 2018/19 has reached 11% of all enrollees; and (ii) A minimum of 5 ICs receiving LAI Grants have reached a female enrollment of 20% in their respective apprenticeship	Female enrollment across ITIs with signed PB Grant Agreements during academic year 2019/20 has reached 12.5% of all enrollees	Female enrollment across ITIs with signed PB Grant Agreements during academic year 2020/21 has reached 14% of all enrollees	Female enrollment across ITIs with signed PB Grant Agreements during academic year 2021/22 has reached 15% of all enrollees	Female enrollment across ITIs with signed PB Grant Agreements during academic year 2021/22 has reached 15% of all enrollees

\*These DLRs are ~~not~~ time-bound. The Fiscal Years in which they are expected to be achieved as per this Schedule are strictly for indicative purposes. ~~These DLRs can accordingly be met up and until the Closing Date.~~

**Annexure IV**

**DLI Verification Protocol Table**

DLI #	DLI Description	Definition/Description of Achievement	Scalability of Disbursements (Yes/No)	Data Source / Agency	Procedure
1	Increase in the number of graduates from ITIs that have signed PB Grant Agreements	<p>Year 1: Indicator measures the number of ITIs that have signed a PB Grant Agreement in accordance with the OM.</p> <p>Year 2 onward: Indicator measures the percentage increase over baseline of total number of graduates across all ITIs with signed PB Grant Agreements.</p> <p>Graduates refer to trainees who have successfully completed a NSQF compliant CTS trade or any other NSQF compliant trade offered in the ITI with a minimum duration of 300 hours.</p> <p>The results for Year 2 through Year 5 may be achieved in any year.</p> <p>For example, if MSDE achieves the result allocated for Year 4 in Year 3 itself, it will be entitled to receive the amount allocated for both Years 3 and 4 in Year 3 when it achieves the result.</p>	<p>Year 1: Yes</p> <p>Year 2 onward: No</p>	<p>Annual progress report on STRIVE to be prepared by the MSDE</p>	<p>ITIs will report through NCVT MIS portal each year. States will verify the report.</p> <p>Data will be validated on a sample basis by IVA.</p>

*(Signature)*

Dr. Pratik Kumar/Prof. Himanshu Rai  
Director

Indian Institute of Management Indore  
Prof. Prabhendra Shikhar  
Rau-Pithampur Road, Indore-453556  
Rau-Pithampur Road, Indore-453556  
India

*(Signature)*



DLI #	DLI Description	Definition/Description of Achievement	Scalability of Disbursements (Yes/No)	Data Source / Agency	Procedure
2	Improvement in industrial training and employment outcomes for trainees and graduates for ITIs that have signed PB Grant Agreements	Year 2 to Year 4: Indicator measures the number of trainees undergoing OJT across all ITIs with signed PB Grant Agreements in each academic year. This shall be counted for all dual training trades and other trades under CTS for which the curriculum has an OJT requirement. The minimum period of OJT for the purpose of this indicator shall be as prescribed in the curricula for dual training trades and two weeks per year for other CTS trades. OJT requirement may be fulfilled through training in any enterprise, including informal and/or local industry, and production centres. Year 5: Graduates refer to trainees from ITIs that have signed PB Grant Agreements who successfully completed the CTS program in academic year 2019/20 and hold the National Trade Certificate. Indicator measures the percentage of all graduates who are wage employed, self-employed, or enrolled in an apprenticeship contract. Indicator will be measured by tracer studies. Measurement of the indicator is considered sufficient if tracer studies have captured 5% of the population of graduates. The study must (i) be based on a representative sample of	No	Year 2 to Year 4: Annual progress report on STRIVE to be prepared by the MSDE Year 5: Tracer study conducted by MSDE	Year 2 to Year 4: ITIs will report through NCVT MIS portal each year. States will verify the report. Data will be validated on a sample basis by IVA. Year 5: MSDE will conduct a tracer study on a sample basis for graduates from academic year 2019/20 from ITIs that have signed PB Grant Agreements.

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निर्देशक/Director  
राज्यीय प्रबंधन संस्थान

Indian Institute of Management Indore  
राज्य प्रबंधन शिक्षण संस्थान  
राज्य-प्रबंधन संस्थान, इंदौर-453556  
Rau-Pithampur Road, Indore - 453556  
प. अ. राव/म.प., इंदौर

		<p>students; (ii) have a sample size large enough to also include representation at the trade level; (iii) cover student background characteristics; and (iv) disaggregate data based on gender, caste, location rural/urban), education level, and household economic status.</p>			
3	<p>Reduction in ITIs' trainer vacancies and improvements in training of trainers</p>	<p>Participating states refer to those states that have signed PB Funding Agreement with the MSDE.</p> <p>Year 1: The indicator is met when the MSDE has developed guidelines for states to develop ITI teachers' development plans, which must include principles for recruitment, guidelines for training and further training, as well as guidelines for career progression and improvement of working conditions of technical teachers. In order to meet the DLI, at least 15 States must have developed specific teachers' development plans based on the guidelines provided by the MSDE.</p> <p>(i) Vacancy rate measures the share of posts filled either permanently or through contract teachers of the total sanctioned posts for</p>	<p>(i) Yes (ii) Yes</p>	<p>Year 1: Sustainability plan document prepared by states on STRIVE progress report prepared by MSDE</p> <p>(i) Annual report on STRIVE to be prepared by the MSDE</p> <p>(ii) Annual progress report on STRIVE to be prepared by the MSDE</p>	<p>Year 1: The DGT submits the document and proof of formal adoption to the World Bank task team leader.</p> <p>(i) States will submit data to the MSDE. Data will be validated on a sample basis by IVA.</p> <p>(ii) IVA verifies roll-out of upgraded CITS trades in ATIs on sample basis.</p>

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श्री. हिमंशु राय/Prof. Himanshu Rai  
 प्रमुख/Principal  
 भारतीय प्रबंधन संस्थान  
 Indian Institute of Management Indore  
 पते/Address: Prabhavathi Shikhar  
 राय-सिंगे रोड, इंदौर- 453556  
 Rao-Pitampur Road, Indore- 453556  
 इ.प्र., भारत/India

DLI #	DLI Description	Definition/Description of Achievement	Scalability of Disbursements (Yes/No)	Data Source / Agency	Procedure
		<p>NCVT trades in government ITIs. Relevant is the state average across all government ITIs in the state. Indicator is met if the vacancy rate is 20% lower than at baseline (2016/17). Each participating state that met the target is counted.</p> <p>(ii) Indicator measures the number of CITS trades for which comprehensive new digital TL resource packages, incorporating effective use of video and computer-based multimedia as educationally appropriate, have been developed by NIMI, in consultation with CSTARI, using a curriculum revision and content development process, in order to offer the trades in a blended learning mode (comprising a combination of distance learning and face-to-face learning methods). There must also be evidence that the NCVT has offered the upgraded trade using these resource packages for enrolment in at least 2 ATIs.</p>			

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 १०३-पीठाम्पुर रोड, इंदौर- ४५३५६६  
 Rau-Pithampur Road, Indore- 453566  
 ए. एस. राव/M.P., India



DLI #	DLI Description	Definition/Description of Achievement	Scalability of Disbursements (Yes/No)	Data Source / Agency	Procedure
4	Number of Participating States that have conducted tracer studies	Participating states refer to those states that have signed PB Funding Agreement with the MSDE. Indicator measures the number of participating states that have completed tracer studies (sample surveys) of ITI graduates using a methodology accepted by the central government, which shall include that the study must (i) be based on a representative sample of students; (ii) have a sample size large enough to also include representation at the trade level; (iii) include both government and private ITIs; (iv) cover student background characteristics; and (v) disaggregate data based on gender, caste, location (rural/urban), education level, and household economic status. A tracer study is considered completed, if data has been submitted to the MSDE in a format accepted by the central government and the findings are publicly disclosed.	Yes	Tracer study reports by states; Annual progress reports for STRIVE prepared by the MSDE	Data will be validated on a sample basis by IVA.

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डॉ. विवेक यादव/Prof. Nimanshu Rai  
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 Indian Institute of Management Indore  
 गैरा-प्रबंधन शाखा/Prabandh Shiksha  
 शाखा-प्रबंधन शा. अर्थात्- 453556  
 Rau-Pithampur Road, Indore-453556  
 रा. अ. संतोळी, इंदौर

DLI #	DLI Description	Definition/Description of Achievement	Scalability of Disbursements (Yes/No)	Data Source / Agency	Procedure
5	Number of ICs that have introduced at least 2 different apprenticeship programs within their participating (member) industries	<p>(i) Indicator is achieved when guidelines for the IAI grant mechanism are developed, approved and formally adopted by the MSDE and are agreeable to the World Bank. Guidelines are part of the STRIVE OM and include selection methods and criteria, eligible expenditure, disbursement rules and procedures, and a monitoring plan.</p> <p>(ii) Indicator refers to those ICs that have signed grant agreements with the MSDE under the IAI grant mechanism, and have introduced at least two different apprenticeship programs within their participating (member) industries. Apprenticeship programs must be designed in accordance with the requirements of upgraded dual training programs as defined in the IAI guidelines of the OM. There must be evidence that at least 20 apprentices have been enrolled under each apprenticeship program. ICs that have introduced at least 2 such programs are counted only once.</p>	Yes	<p>(i) Guideline document and STRIVE Operation Manual</p> <p>(ii) Enrollment lists; apprenticeship portal; annual progress report on STRIVE to be prepared by the MSDE</p>	<p>(i) The DGT submits the document and proof of formal adoption to the World Bank task team leader.</p> <p>(ii) RDATs to report on the number of ICs. Data will be validated on a sample basis by IVA.</p>

Dr. H. K. R. Rao, Director

Indian Institute of Management Indore

Prabandh Shikhar

Indore-453556

Rau-Pithampur Road, Indore-453556

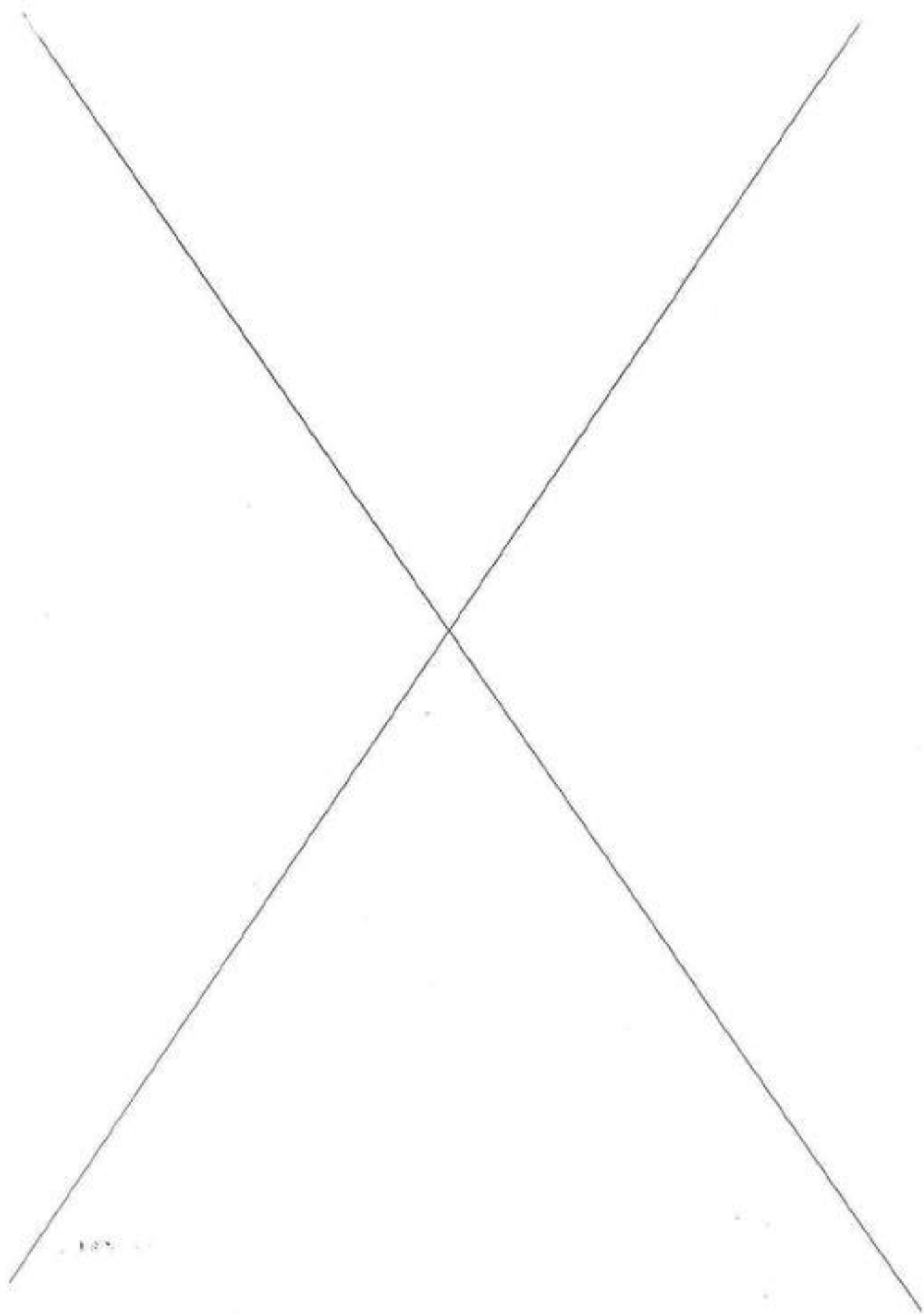
India

DLI #	DLI Description	Definition/Description of Achievement Indicators	Scalability Disbursements (Yes/No)	Data Source / Agency	Procedure
6	Increase in female enrollment rate in ITIs with PB Grant Agreements and ICs receiving IAI Grants	(i) Indicator measures female enrollment across all ITIs with signed PB Grant Agreements for each academic year.  (ii) Indicator measures the number of ICs that have signed grant agreements with the MSDE under the IAI grant mechanism that have at least 20% female enrollment in the apprenticeship programs introduced using the IAI grant funding. An IC which achieves the 20% female enrollment in any year is counted only once.	(i) No  (ii) Yes	(i) Annual progress report on STRIVE to be prepared by the MSDE.  (ii) Enrollment lists; apprenticeship portal; annual progress report on STRIVE to be prepared by the MSDE	(i) ITIs will report through NCVT MIS portal each year. States will verify the report. Data will be validated on a sample basis by IVA.  (ii) RDATs to report on the number of apprentices. Data will be validated by IVA on a sample basis

\*Since PB Grant Agreement ITIs have not yet been identified baseline information is based on the average across all ITIs.

  
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 ए. डी. नगर/Indore





## APPENDIX B

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प्रो. हिमंशु राय/Prof. Himanshu Rai  
निदेशक/Director  
भारतीय प्रबंध संस्थान इन्दौर  
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**FORM TECH-6**  
**TEAM COMPOSITION, ASSIGNMENT, AND KEY EXPERTS' INPUTS**

No.	Name	Position (as per Technical proposal)	Home /Field	Time Input in Person/Month
1	Prof. Himanshu Rai	Team Leader	Home	2
2	Prof. D.L.Sunder	Curriculum Expert	Home	1
			Field	1
3	Prof. Prashant Salwan	M&E Expert	Home	0.75
			Field	0.75
4	Prof. Sushanta K Mishra	Development Expert	Home	0.5
5	Prof. Pritam Ranjan	Statistician	Home	0.75
6	Mr. Arunendra V	IT Specialist	Home	3
7	Mr. Gopal Singh J	Apprentice Expert	Home	3
8	Ms. Amrita Baid	Report Writer	Home	3
9	Ms. Pooja Sharma	Central Field coordinator	Home	2
			Field	1
NK-1.1			Home	3
			Field	6
NK-1.2			Home	3
			Field	6
NK-1.3			Home	3
			Field	6
NK-1.4			Home	3
			Field	6
NK-1.5			Home	3
			Field	6
NK-1.6			Home	3
			Field	6
<b>Other support staff/ contingencies</b>				
		Research Assistant	Home	10
		Data Entry Operator	Home	12



ANNEXURE 1: CV'S OF THE KEY EXPERTS

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प्रो. हिमंशु राय/Prof. Himanshu Rai  
निदेशक/Director  
भारतीय प्रबंध संस्थान इन्दौर  
Indian Institute of Management Indore  
प्रबंध शिखर/Prabandh Shikhar  
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Rau-Pilhampur Road, Indore-453556  
ग. प्र., भारत/M.P., India



## CURRICULUM VITAE (CV): Dr. Himanshu Rai

Name of Staff : Himanshu Rai

Proposed Position : Team Leader

Employer : Indian Institute of Management Indore

Date of Birth (DD/MM/YYYY) : 25/12/1969

Nationality/ Country of Residence : Indian/ India

### EDUCATION

- **Indian Institute of Management, Ahmedabad, India, June 2000 – May 2005**  
Fellow of IIM Ahmedabad (Ph.D.), Doctorate Thesis Topic: An Exploratory-Formulative Study of Executive Dispute Handling Capability: Morphology, Measurement and Modalities.
- **Karnataka Regional Engineering College, Surathkal, August 1987 - July 1991**  
B.E, Electrical and Electronics Engineering, Division: 1<sup>st</sup>

### PROFESSIONAL EXPERIENCE

**Director, Indian Institute of Management, Indore (31 December 2018 onwards)**

As the Chief Executive Officer of IIM Indore, my mandate is to provide leadership to the institute and help it achieve its true potential in line with its Mission.

**Professor, Indian Institute of Management, Lucknow, India, (February 2017 to December 2018), Associate Professor (October 2009 to August 2014; September 2016 to February 2017), Assistant Professor (August 2006 – October, 2009) (IIMs are ranked among the top B-Schools in the World)**

- Designed and developed the course outline, course material and methodology, and teaching/taught the following courses:
  - Human Resource Management (MBA Core Course)
  - Behavior in Organizations (MBA Core Course)
  - Communication for Management (MBA Core Course)
  - International Business Communication (IPMX Core Course)
  - Strategic Business Negotiations (MBA Elective)
  - Leadership through Literature (MBA Elective)
  - Justice, Ethics & Morality (MBA Elective)
  - Framing Identities and Roles through Exploration (MBA Elective)
  - Training & Development (GMP Elective)
  - Advanced Research Methodology (Doctoral Program)

HR

- Spearheaded the executive programs team as the **Chairperson, Management Development Programme** of IIM Lucknow from 2013 to 2014 and helped increase revenues by 50%. The IIM Lucknow MDP trains over 1200 executives every year through over a 100 programs of durations ranging from 3 days to one year.
- Conducted the Common Admission Test (CAT) 2010 for the Indian Institutes of Management as **Convener for CAT-2010** and successfully achieved critical success parameters **better than global benchmarks**.
- Coordinated all internal & external communications of IIM Lucknow as **Chairperson, Corporate Communications & Media Relations** from 2011 to 2013.
- Coordinated Common Admission Test (CAT) and admissions at IIM Lucknow as the **Chairperson, Admissions** from 2009 to 2011.
- Coordinated activities of the HRM area as the **Chairperson, HRM Group** from 2009 to 2011.
- Conceived, developed and conducted Management Development Programs for working executives (including in-company programs) on *Strategic Business Negotiations, Leadership Development, Crisis Management, Advanced Research Methodology for Social Sciences, Decision Making and Effective Communication*.

**Dean, MISB Bocconi**, India Campus of Bocconi University, Milan, Italy, and SDA Professor of Organization & HRM, SDA Bocconi School of Management, Milan, Italy: **September 2014 to August 2016**

- Spearheaded the business school in India in its quest for growth; successfully conceived and implemented the strategy to double the PGP Admissions in a year
- Strategized Bocconi's presence in India through the business school and related branding activities
- Hired and mentored faculty in India, while optimizing faculty resources from Milan
- Launched and managed niche executive programs; successfully launched an edition of International Executive Masters in Business (18-month, weekend program), and two editions of Executive Program (6 modules of 3-days spread over 10 months) in Business Analytics
- Created strategic partnerships with business schools and corporate houses across the globe

**XLRI Jamshedpur**, Asst. Professor, India, **June 2005 – August 2006** (XLRI is ranked as the top B-School in Human Resource Management in India)

- Developed the course outline and methodology, and taught the following core courses to PG students (regular MBA and Satellite Program):
  - Introduction to Human Resource Management
  - Human Resource Planning
- Conceived, developed and conducted Management Development Programs for working executives (including in-company programs) on *Negotiation Skills and Written and Oral Communication Skills*.

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Presided over the XLRI Campus Club, the faculty body overseeing social and cultural initiatives of the institute.

प्र०. हिमंशु राय/Prof. Himanshu Rai  
निदेशक/Director

भारतीय प्रबंध संस्थान इन्दौर

Indian Institute of Management Indore

प्रबन्ध शिक्षण/Prabandh Shikhar

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Rau-Pithampur Road, Indore- 453556

म.प्र., भारत/M.P., India





- Designed and developed the vision and implementation plan for the institute's Satellite Program as a member of the Satellite Program team.
- Designed and developed the vision and implementation plan for the institute's Entrepreneurship Program as a member of the Entrepreneurship and Incubation Cell team.

**Tata Steel, Jamshedpur, India (Graduate Trainee - Senior Officer - Asst. Manager)**

**October 1991 - April 2000 (Tata Steel is one of World's largest Steel Companies)**

- Spearheaded a Quality initiative, leading cross functional teams to design and develop ISO 9000 systems for Quality Assurance, Project and Corporate Communications Divisions over a period of 4 years.
- Led an engineering team, commissioning the electrics for **US\$ 200 million, 2-million ton Steel Melting Shop**, with outstanding results.
- Led an engineering maintenance team of 25 people as the Sectional Head of Electrical Operations Division of the **1-million ton Steel melting shop**, with consistently outstanding results.
- Conceived, developed and disseminated the "**Communication Policy**" for Tata Steel.
- Conducted pre-certification audits for various Departments of Tata Steel as a **Trained Quality Auditor**.
- Designed and developed Tata Steel's **Intranet Website** and **Audio-Visual Studio** for its own Cable TV Channel.

## SELECTED CONSULTANCY ASSIGNMENTS

- **IVA for SANKALP:** Verification of claims against Disbursement Linked Indicators for the World Bank Supported SANKALP initiative of the Government of India.(2018-19)
- **GST Cadre restructuring** for the Commercial Tax Department of **Govt. of U.P.**
- Strategic Consultancy for Planning Commission of India.
- Designed and conducted Online Recruitment exam for senior managers of UP State Road Transport Corporation
- Manpower Evaluation of UP State Transport Corporation, **Govt. of U.P.**
- **Designing HRM systems** for contract employees of UPSRT, **Govt. of U.P.**
- **Restructuring** of Metal Handicraft Service Centre, Moradabad to make it a Centre of Excellence, **Ministry of Textiles, Govt. of India.**
- Designed and developed the **Strategic HRM Systems**, and rationalized the **Promotion Policy** for the Indira Gandhi Rashtriya Udaan Academy (IGRUA).
- Developed the blueprint for "**Functional Autonomy**" of National Sugar Institute, India, one of the premier institutes in the world imparting training to scientific personnel for the services of **Sugar and Allied industry in India.**
- Designed, conducted and prepared a **Baseline Survey Report** for the villages of Gujarat, India, in association with **International Finance Corporation** as a Short Term Temporary Consultant with the **World Bank.**





- Consulted with the SEWA Trade Facilitation Centre, the trade wing of Self Employed Women's Association (SEWA), India, in association with International Finance Corporation. Developed and designed the **Strategic Plan** and the related **Action Plan** for its effective functioning and fund generation. The plan has since been successfully implemented.

## MEMBERSHIP IN PROFESSIONAL ASSOCIATIONS

### AFFILIATIONS

- Member, Academy of Management (AOM).
- Past Member, HRD Advisory Council, Powergrid Corporation India Limited.
- Past Member, Steering Committee, CMAT, AICTE.
- Participant of the **Harvard Global Colloquium** on participant-centred learning.
- Past member of **Editorial Review Board** for South Asian Journal of Global Business Research (Emerald Publications)
- **Reviewer** for Human Resource Development International, a scholarly peer-reviewed journal
- **Reviewer** for Inderscience journals
- **Reviewer** for African Journal of Business Management, a scholarly peer-reviewed Journal
- **Reviewer** for IIMB Management Review, a scholarly peer-reviewed Journal.
- **Reviewer** for Metamorphosis (IIM Lucknow), a scholarly peer-reviewed Journal.
- **Reviewer** for Sage Publications, and Cengage Learning India Pvt. Ltd India.
- Past Member of **Executive Council** of Lucknow Management Association.
- **Member of High Level Advisory Committee**, Cooperative Societies, Govt. of UP, India.
- Past Member of the Interview and Group Discussion Panel for selection of Probationary Officers for State Bank of India (2005-2007).

### HONORS

- Best Teacher in HRM award, Dewang Mehta Award, 2017; Dainik Bhaskar Group, 2013.
- Best in-session presentation award at the 2012 Costa Rica Global Conference on Business and Finance, San Jose, Costa Rica.
- **Infosys Fellowship** for academic and research excellence at IIM, Ahmedabad (2000-2001). The Fellowship was awarded to 2 students in that academic year.
- **National Talent Search Examination Scholarship** from Government of India for academic excellence (From 1986-1991). The scholarship was awarded to 750 students from across the country in that academic year.
- **'A' Level Certificate** from Tata Steel Adventure Foundation for rock climbing and trekking expedition in the Garhwal Himalayas.






## DOCTORAL GUIDANCE

- Guiding 1 doctoral student at IIM Lucknow and have been on the Thesis Advisory Committee of several others
- One PhD student from AKTU awarded the doctorate. Guiding two other PhD students from other universities

## ADVISORY BOARDS

- Member, Academic Advisory Board, IIM Sirmaur, DIT Dehradun, Jaipuria Institutions, Techno Group of Institutions, The Infinity School
- Chief Mentor, National HRD Network, Lucknow Chapter, India
- Advisor, Streamingo Solutions Pvt. Ltd., a startup that is working on adding intelligence to video experience
- Advisor, Subhag, a Medical Device Engineering startup

## SELECTED PUBLIC SERVICE WORKS

- On the direction of **Hon'ble High Court of UP** (as a response to a PIL), and UP Police, conducted a study on the Impact of Licensed Weapons and Celebratory Firing on General Public in UP. This report has been named "**Himanshu Rai Report**" by the High Court who has directed the State to implement the recommendations given therein.
- On the request of **UP Police**, conducted an experimental study to look at the "The Effect of Weekly off on Job Satisfaction, Organizational Commitment, Work-Family and Family-Work Conflict of Police Personnel". Based on this report the state government has initiated the process of giving weekly off to police personnel in UP in a phased manner.

## PUBLICATIONS

### Books & Book Chapters

- **Rai H.** (2017). Negotiation. McGraw Hill Education.
- **Rai, H.** (2005). The Role of Hinduism in Global India and her Business Ethics. In Capaldi, N, (Eds.), *Business and Religion: A Clash of Civilizations?* Salem, MA:M&M Scrivener Press. 379-389.
- **Rai, H.** (2005). The Emerging World Trade Regime, Social Clause and Implications for Employee Relations Management. In Chawla, K.N., (Eds.), *Enhancing Global Business Competitiveness*, Delhi: Wisdom Publications. 160-175.

### Scholarly Papers (Peer Reviewed)

- Rai, H & Banerjee, B (2019). The role of gender and leader tenure in the relationship between Spirituality & Ethical Leadership. *The Indian Journal of Industrial Relations*, 54(3), 497-515
- Wohlgezogen, F & Rai, H (2018). Dialogue: Lessons on Competence and Character from President Donald J Trump. *Organizational Dynamics*, 47(1), 54-62



- Saxena, N & Rai, H. (2016). Correlations and organisational effects of compensation and benefits, job satisfaction, career satisfaction and job stress in public and private hospitals in Lucknow, India. *Asia Pacific Journal of Health Management*, 11(2), 65-74
- Singh, S; Kumar, K; Bhattacharya, A & Rai, H. (2016). Estimating and testing the significance of correlation coefficient obtained from truncated bivariate normal distribution. *Journal of Interdisciplinary Mathematics*, 19(2), 245-251
- Shukla, A & Rai, H. (2015). Linking Perceived Organizational Support to Organizational Trust & Commitment: Moderating role of Psychological Capital. *Global Business Review*, 16(6), 981-996.
- Rai, H. (2015). Education & Skill Development: Creating an Employable Workforce. *CFO Insights*, 6, 38-39.
- Saxena, N & Rai, H. (2015). Impact of Performance Appraisal on Organizational Commitment and Job Satisfaction. *International Journal of Engineering and Management Sciences*, 6(2), 95-104.
- Shukla, A & Rai, H. (2015). Interactive Effects of Psychological Capital and Perceived Support in Developing Trust and Commitment among Indian IT Executives. *Employment Relations Record*, 14(2), 66-87.
- Saxena, N & Rai H. (2015). The correlation effects between recruitment, selection, training, development and employee stress, satisfaction and commitment: findings from a survey of 30 hospitals in India. *International Journal of Healthcare Technology and Management*, 15(2), 142-161.
- Rai, H. (2014). An Exploratory Study on the Morphology and Measurement of Spirituality: Development of a Scale. *International Journal of Indian Culture and Business Management*, 8(4), 459-472.
- Rai, H (2013). Empowering your Conscience. *Complete Wellbeing*, 8(2), 87-88.
- Rai, H and Singh, M. (2013). A Study of Mediating Variables of the Relationship between 360-degree Feedback and Employee Performance. *Human Resource Development International*, 16(1), 56-73.
- Rai, H. (2013). The Measurement of Negotiating Ability: Evidence from India. *Global Journal of Business Research*, 7(4), 109-125.
- Rai, H. (2012). Leadership Styles. *Cascade*, 19(2), 7-9
- Kumar, M, Singh, S, Rai H, and Bhattacharya A. (2012). Measuring Humane Orientation of Organizations through Social exchange and Organizational Identification Facilitation and Control of Burnout and Intention to Quit. *International Journal of Organizational Theory and Behavior*, 15(4), 520-547.
- Rai, H. (2012). Book Review. Samuel Paul: A life and its lessons: Memoirs, Samuel Paul. *Metamorphosis*, 10 (2), 101-105.
- Rai, H (2011). Leadership through Literature. Good to Great: Ideas, Imagination & Innovation, LBSNAA. 25-29.
- Rai, H (2010). HRIS: Issues and Implications. *Gitam Journal of Management*, 8(1), 194-200.
- Kumar, M, Rai, H, and Pati, S.P. (2009). An Exploratory Study on Negotiating Styles: Development of a Measure. *Vikalpa*, 34(4), 37-49.
- Rai, H (2009). Business Education-Motivation to Learn-Knowledge and Skills Transfer Linkage. *Indian Journal of Training & Development*, 39(1), 21-29.

W

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- **Rai, H** (2009). Strategic Human Resource Management: Issues and Effects. *Evolution*, 1(1), 20-24.
- **Rai, H** (2009). Gender Differences: Ingratiation and Leader Member Exchange (LMX) Quality. *Singapore Management Review*, 31(1), 63-72.
- **Rai, H** (2008). Political Dynamics and Employee Relationship Management. *Journal of Indian Management and Strategy*, 13(4), 40-43.
- **Rai, H** and Kothari, J (2008). Recruitment Advertising and Corporate Image: Interface between Marketing and Human Resources. *South Asian Journal of Management*, 15(2), 47-60.
- **Rai, H** and Wadhwa, C (2008). Effect of Employer Branding on Recruitment Communication Media: Perception of Graduating Students. *Pratibimba*, 8(2), 45-53.
- **Rai, H**. (2008). Managing Trade Unions at the Firm Level and the Dynamics of Collective Bargaining, *Indian Journal of Industrial Relations*, 44(1), 117-129.
- **Rai, H** and Kulkarni, V. (2008). How Close Can You Get-The Effect of Proxemics on LMX, *Icafaian Journal of Management Research*, 7(9), 7-15.
- **Rai, H**. (2008). Disputes and Dispute Resolution: The Effect of Union Density on Employee Intention to Quit-an Indian Study. *Management & Labour Studies*, 33(2) 290-300.
- **Rai, H** (2008). Factors affecting Promotion: Age, Gender and Mentorship. *Pragyan: Journal of Management*, 6(1), 1-6.
- **Rai, H**. (2007). Dispute Handling Capability: Morphology and Modalities-Development of a Model. *Management & Labour Studies*, 32(2), 183-202.
- Kaul, A., Ansari, M., and **Rai, H**. (July 2006). Gender, Affect and Upward Influence. *Journal of Asia Entrepreneurship and Sustainability*, 2(1), 2-31.
- **Rai, H**. (2004). Book Review. Negotiated Change: Collective Bargaining, Liberalization and Restructuring in India. C.S. Venkataratnam. *Vikalpa*, 29 (3), 155-157.

#### Others:-

#### SELECTED TRAINING PROGRAMS

- Helping Lal Bahadur Shastri National Academy of Administration (LBSNAA), Mussoorie to develop a training module on "Ethics and Anti-Corruption Strategies" for all Indian Administrative Services officers across career phases.
- Designed and conducted a "Training of Trainers" on Negotiation Skills for faculty and senior management of LBSNAA, Mussoorie, the training institute for ALL bureaucrats of India. Subsequently this module has been adopted to train all IAS officers in India across career phases.
- Designed and conducted workshops on "Crisis Leadership" for a large Oil company
- Designed and conducted a series of workshops on "Creating Sustainable Performance at Dealership" dealers of a large auto organization in India.
- Designed and conducted Workshop on "Negotiation Skills" for senior and middle level executives of organizations in India.
- Designed and conducted Training Programs on "Strategic Business Negotiations" and "Developing Negotiating Ability" for multinationals and other organizations across India.

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- Designed and conducted Training Programs on “Effective Communication Skills for Leaders”, for multinationals and organizations across India.
- Designed and conducted Workshop on “Advanced Research Methods in Social Sciences” for doctoral students in India.
- Conducted workshops on “Communication Skills”, “Positive Thinking”, and “The Art of Quizzing” for several organizations in India.

#### SELECTED INTERNATIONAL REFEREED CONFERENCES

- Paper on Ethical Leadership at 2017 Academy of Management Conference at Atlanta
- Invited session on “Eradicating Corruption” at 2016 Academy of Management conference at Anaheim.
- Invited session on “Eradicating Corruption” at 2015 Academy of Management conference at Vancouver.
- Paper, titled “An exploratory study on the morphology and measurement of spirituality: Development of a scale” presented at 2012 Costa Rica Global Conference on Business and Finance, San Jose, Costa Rica, May 22-25, 2012. Received the best in-session presentation award.
- Paper titled “An exploratory-formulative study of measurement of negotiating ability: Development of a scale.” presented at 2<sup>nd</sup> Bangkok International Forum on Indigenous Management Practices (BIFIMP) 28-31 August 2011, Bangkok, Thailand.
- Paper, titled “An exploratory-formulative study of measurement of negotiating ability” presented at 15<sup>th</sup> Annual South Dakota International Business Conference, Rapid City, South Dakota, USA. October 9-12, 2008.
- Paper, titled “An exploratory study on the morphology and measurement of spirituality” presented at AGBA and AAM Joint World Congress, Penang, Malaysia, May 21-25, 2007.
- Paper, titled “Gender Differences: Ingratiation and LMX”, presented at 6<sup>th</sup> Asia Pacific ABC Conference on Management Communication at IIM Ahmedabad, India, December 14-16, 2006.
- Paper, titled “Recruitment Advertising and Corporate Image: Interface between Marketing and Human Resources”, presented at 3<sup>rd</sup> AIMS International Conference on Management at IIM Ahmedabad, India, January 1-4, 2006.
- Paper, titled *Dispute Handling Capability: Morphology and Modalities-Development of a Model*, presented at Second International Biennale on Negotiation, at Paris, November 17-18, 2005.
- Session proposal (“The DNA Model: Developing Negotiating Ability”) presented at Harvard PON-ESSEC IRENE negotiation pedagogy conference at ESSEC, Paris, November 14-15, 2005.
- Paper, titled *How close can you get-the effect of Proxemics on LMX*, presented at 2<sup>nd</sup> AIMS International Conference on Management at IIM Calcutta, India, December 28-31, 2004.

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- Paper, titled *Disputes and Dispute Resolution-An Indian Case Study*, accepted for presentation and published at 2004 IABE Annual Conference, Las Vegas, USA, October 17-20, 2004.
- Paper, titled *Hinduism, Business and Ethics*, accepted for presentation and published at the International Ecumenical Conference, Loyola University, New Orleans, June 10-13, 2004.

## INTERESTS

- Answering questions on management, philosophy, education, literature, yoga, mountaineering in India, and psychological issues through my column AskHimanshuRai, and developing perspectives on contemporary issues and literature through my blogs on my website [www.himanshurai.com](http://www.himanshurai.com)
- Yoga (Practice and teaching): Currently **teaching Yoga** to people through the Patanjali's Ashtanga method.
- Adventure Sports: Led over a dozen **expeditions** in the Garhwal Himalayas, scaling heights at 20,000 feet. These include Everest Base Camp, Kala Patthar Peak, Nagakarsang Peak, Rudragaira Peak, Khatling Glacier, Chandrashila Peak etc.
- Quizzing: Designed, created and conducted over 50 **Quiz Shows** across the country.
- Stage: Directed and acted in half a dozen **Plays** (English), and one **Opera**.
- Reading: Voracious reader of **Classical English** and **Sanskrit literature** besides both fiction and non-fiction genres.
- Music: Connoisseur of **Western Classical** and **Hindustani Classical** Music.
- TEDx talk on "Ethical Leadership: Lessons from the Vedas" on <https://www.youtube.com/watch?v=Pkn0u1aXS1o>

### Contact Details:

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## CURRICULUM VITAE (CV): Dr Prashant Salwan

1. Name of Staff : Dr Prashant Salwan
2. Proposed Position : M&E Specialist
3. Employer : Indian Institute of Management Indore
4. Date of Birth (DD/MM/YYYY) : 08/08/1974
5. Nationality/ Country of Residence : Indian/ India
6. Education :

S#	Degree/certificate or other specialized education obtained	School, college and/or University Attended	Degree/certificate Issuing University/ Board/ Agency	Year Obtained
1	British Gurukul Chevening Scholarship in Globalization and Leadership	London School of Economics and Political Science United Kingdom.	London School of Economics and Political Science United Kingdom	2004
2	Doctor of Philosophy PhD, (Economics and Technology strategy)	University of Pune India	University of Pune India	2003
3	Post Graduate Diploma in International Trade (PGDITM)	SISI Ministry of Industries (Govt. of India)	SISI Ministry of Industries (Govt. of India)	2000
4	Master of Business Administration (MBA)	University of Pune	University of Pune	1996
5	Bachelor of Science (BSc)	FM College	Utkal University, Bhubaneswar, Orissa.	1994

### 7. Professional Certification or Membership in Professional Associations:

Membership in Professional Associations and Publications: Strategic Management Society  
SMS, AIB, AOM

### 8. Other Relevant Training/ Certification:

1B: Advance Research Courses / Training

S. No.	University/Institution	Course	Year
1.	London School of Economics and Political Science , United Kingdom	Statistical Methods for Social Research using SPSS	August 2015
2.	AIB SE Dr Jim Robins , Vienna University गो. विद्यापीठ राव/Prof. Himanshu Rai	Survey Research	Oct 2014

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3.	AIB SE Dr Joe Hair , Kennesaw State University	Partial Least Squared PLS Structural Equation Modeling Workshop	Oct 2014
4.	University of Illinois at Urbana Champaign.	Training in leadership for higher education institutes	July 2013
5.	Harvard Business School, Boston	Global Colloquium on Participant Centered Learning: Qualitative Research	July/ August 2010
6.	Ross School of Management University of Michigan. Conducted at IIT Bangalore	Research Boot Camp.	Dec 2005
7.	London School of Economics and Political Science UK	Post graduate course on International Marketing Management ; A strategic approach	Sept to Dec 2004
8.	National Institute of Financial Management, Faridabad	Finance for Non -Finance Executives	April 2002
9.	Indian Institute of Management, Calcutta	Project Management	Dec 2000
10.	Indian Institute of Management, Bangalore IIM	Creating Successful New Products	June 2000
11.	M.C. Mehta Environmental Foundation, New Delhi	Understanding Environmental Ethics, Law and Policy for ensuring Environmentally Sustainable Development	December 2001
12.	Scientific Methods, Inc., USA	Synergogy Seminar	August, 1996

### 9. Employment Record: Total Experience of approx. 22 years

Period	Employing organization and your title/position.	Contact information for references	Country	Summary of activities performed relevant to the Assignment
21 <sup>st</sup> Feb 2005 – till date	Indian Institute of Management Indore IIM I	Director IIM I	India	Faculty of Strategic management Research Consulting

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14 <sup>th</sup> May 1997 to 19 <sup>th</sup> of February 2005.	Mishra Dhatu Nigam Ltd. (MIDHANI) Government of Indian Undertaking, Central Govt Public Sector. Ministry of Defence . A Mini Ratna Company.	Chairman and Managing Director MIDHANI Hyderabad	India	Dy Manager 1. Head SBU 2. Strategic Management and Project management faculty 3. New Product development (Defence Technology)
1 July 1996 to 12 <sup>th</sup> May 1997	University of Pune Indira Institute Of Management Pune.	Registrar University of Pune	India	Faculty of Management

I am PhD Guide and PhD Examiner in many central and state universities including IIT bombay NIT Jaipur and Central universities.

United States Government awarded me with Fulbright Scholarship in 2011.

**10. Countries of Work Experience:** India, USA (as a Fulbright Scholar)

**11. Languages Known:**

Language	Read	Write	Speak
English	Yes	Yes	Yes
Hindi	Yes	Yes	Yes

**12. Work Undertaken that Best Illustrates Capability to Handle the Tasks Assigned:**

S.No	Name of assignment or project	Year	Client
1.	IVA for SANKALP Verification of claims against Disbursement Linked Indicators for the World Bank Supported SANKALP initiative of the Government of India.	2018-2019	MHRD, Government of India
2.	Review of the Chief Minister's Jan Kalyan Yojana (Sambal Yojana)	2018-19	MP Government
3.	Review of Financial Assistance Schemes to Disadvantaged Students in Higher Education.	2018-19	MP Government /World Bank
4.	MPHEQIP Capacity building for strategic planning for higher education institutes in MP	2017-18	MP Government, World Bank
5.	TEQIP-III	2017-18	TEQIP, MHRD, NPIU

6.	MPHEQIP Capacity building for strategic planning for higher education institutes in MP.	2016-18	MP Government /World Bank
7.	Designing, pilot testing and validate a focused training module for the entrepreneurs and provide substantive inputs in the design and delivery of the training and hand holding of entrepreneur. UNDP	2016-17	UNDP / Govt of MP
8.	Advanced Strategic Skills	2016-17	Ministry of Defence, BEL
9.	Expert for assess the impact accrued due to the TEQIP Phase II in strengthening the quality of engineering education in the project institutions.	2016-17	MHRD, TEQIP, NPIU, IIT Delhi
10.	Connectedness	2016	Tech Mahindra
11.	Impact assessment of MCEP : TEQIP	2015-16	MHRD, TEQIP ,NPIU
12.	Impact assessment case studies : TEQIP	2015-16	NPIU, TEQIP, MHRD
13.	World Bank project on Study of autonomy in Higher Educational Institutions in MP.	2014-15	World Bank
14.	Management capacity enhancement Program: TEQIP-II	2013-14	NPIU, TEQIP, MHRD
15.	Turnkey project for designing and executing a recruitment process.	2011-12	MPPKVV

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## CURRICULUM VITAE (CV): Dr D L Sunder

1. Name of Staff : D L Sunder
2. Proposed Position : Curriculum Expert
3. Employer : Indian Institute of Management Indore
4. Date of Birth (DD/MM/YYYY) : 10<sup>th</sup> Feb 1957
5. Nationality/ Country of Residence : Indian/ India
6. Education :

S. N.	Degree/certificate or specialized education obtained	School, college and/or University Attended	Degree/certificate Issuing University/ Board/ Agency	Year Obtained
1	PhD	IIT Madras Dept. of Humanities and Social Sciences	IIT Madras	1997
2	MS	BITS Pilani	BITS Pilani	1991
3	MBA	Bangalore University	Bangalore University	1982
4	B E	PES College of Engineering	Mysore University	1979

### 7. Professional Certification or Membership in Professional Associations:

1. Two week training at LSE, London on Qualitative Research Methods– 2016
2. Harvard Business School, Boston - Global Colloquium on Participant Centered Learning: 2015
3. SAS Institute – Training on SAS – 2006.

### 8. Other Relevant Training/ Certification: NIL

### 9. Employment Record : >30 years

Period	Employing organization & your title position	Contact Information for Reference	Country of Work Experience	Summary of activities performed relevant to this Assignment
2006 onwards	Indian Institute of Management Indore  H.A.	Director 0731 - 2439501	India	Professor in Strategic Management and Entrepreneurship Activities involve <ol style="list-style-type: none"><li>1. Teaching</li><li>2. Curriculum design</li><li>3. Research</li><li>4. Consulting</li><li>5. Academic Administration.</li></ol>

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2003 - 2006	National Institute of Fashion Technology	Director 044-22542759	India	Director Activities included: 1. Overall responsibility for the academic and administration activities. 2. Consulting 3. Guiding faculty colleagues on curriculum design and introduction of new programmes.
1982 - 2003 (these may not be directly relevant to the assignment)	Various industrial and educational organizations (Engineering colleges including REC, Tiruchirappalli)		India and Sultanate of Oman	Management responsibilities in industry. In Engineering colleges 1. Teaching, 2. Curriculum design, 3. Research and 4. Consulting.

**10. Countries of Work Experience: India and Sultanate of Oman**

**11. Languages Known:**

Language	Read	Write	Speak
English	Yes	Yes	Yes
Hindi	Yes	Yes	Yes
Kannada	Yes	Yes	Yes
Tamil	Yes	Yes	Yes

**12. Work Undertaken that Best Illustrates Capability to Handle the Tasks Assigned**

<b>Curriculum Development Activities:</b>
Worked on curriculum development in Engineering colleges in Chennai and Regional Engineering College (Now NIT), Tiruchirappalli.
Supervised and guided faculty teams in curriculum development at NIFT.
Member of the courses committee in IIM Indore.

  
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**Other Project:**

S.No	Name of assignment or project	Year	Client
1	IVA for SANKALP Verification of claims against Disbursement Linked Indicators for the World Bank Supported SANKALP initiative of the Government of India.	2018-19	MHRD, Government of India
2	Review of the Chief Minister's Jan Kalyan Yojana (Sambal Yojana)	2018-19	Government of Madhya Pradesh
3	Review of Financial Assistance Schemes to Disadvantaged Students in Higher Education	2018-19	Government of Madhya Pradesh
4	World Bank assisted Madhya Pradesh Higher Education Quality Improvement Project (Capacity building for Strategic Planning for Higher Education Institutions)	2016-18	Government of Madhya Pradesh
5	TEQIP III	2017-18	MHRD, NPIU
6	Advanced Strategic Skills	2016-17	BEL
7	Developing a training module for Innovation Management in MSME's	2016-17	Steinbeis India and CII
8	Designing, pilot testing and validate a focused training module for the entrepreneurs and provide substantive inputs in the design and delivery of the training and hand holding of Entrepreneur	2016-17	UNDP
9	Developing an Innovation Excellence Model	2016-17	CII and IIM Indore
10	World Bank project on Study of autonomy in Higher Educational Institutions in MP.	2014 -15	World Bank
11	Turnkey project for designing and executing a recruitment process.	2010-11	MPPKVV

**Papers Published:**

1. Sunder, D.L., (2014) The Controversial 'Poison Pill' Takeover Defense: How valid are the Arguments in Support of it? *NMIMS Management Review*, Double Issue, Volume XXIII October-November 2013, University Day Special Issue January 2014, 47-66.
2. Sunder, D.L., (2013) Putting 'Dignity At Workplace' On The 'Corporate Governance' Agenda. *Indian Journal of Corporate Governance*, Vol 6, No.1, 32 -48.
3. Sunder, D.L. (2009) Vision and Mission Statements – Powerful Tools or Pure Baloney. *PES Business Review*, Volume 4, No.1, 60-73.

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4. Sunder, D.L. (2008) Entrepreneurship for Growth and Development. *Knowledge Hub*, Volume 1, No. 1, 43-54.

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5. Kamalanabhan, T.J., Sunder, D.L., and Amat Taap Manshor (2006) Evaluation of Entrepreneurial Risk-Taking using Magnitude of Loss Scale. *Journal of Entrepreneurship*, 15 (1), 38-46.
6. Kamalanabhan, T.J., Sunder, D.L., and Vasanthi, M. (2000). An Evaluation of Choice Dilemma Questionnaire as a Measure of Risk Taking Propensity. *Social Behavior and Personality*, 28 (2), 149-155.
7. Kamalanabhan, T.J., and Sunder, D.L. (1999) Managerial Risk Taking: An Empirical Study. *Social Behavior and Personality*, 27(4), 421-429.
8. Sunder, D. L., and Kamalanabhan, T.J. (1998) Reaction to Risk - Are Entrepreneurs Different from others. *NMIMS Management Review*, X (1), 89-102.
9. Sunder, D.L., and Kamalanabhan, T.J. (1997) Entrepreneurial Risk Taking. *SEDME*. XXIV (3), 1- 9.
10. Sunder, D.L., and Kamalanabhan, T.J. (1995) Relationship between risk taking and information seeking in decision making. *Indian Journal of Applied Psychology*, 32, 80-83.
11. Sunder, D. L., & Kamalanabhan, T. J. (1996, January). Entrepreneurial risk taking: A multidimensional approach. In *INTERNATIONAL JOURNAL OF PSYCHOLOGY* (Vol. 31, No. 3-4, pp. 24167-24167). 27 CHURCH RD, HOVE, EAST SUSSEX, ENGLAND BN3 2FA: PSYCHOLOGY PRESS.

**Presentation in Conferences /Publication in Conference Proceedings:**

1. Jayasankar Ramanathan and Sunder D.L. (2018) "New Product Announcements: Stock Market Reactions in India". ANZMAC 2018 Conference, Adelaide, Australia. 3 – 5 December.
2. Sunder D L (2018) "Impact of Entrepreneurial Education on Entrepreneurial Intentions". 20<sup>th</sup> Annual convention of the Strategic Management Forum at IIM Trichirurappali. 25-27 Dec.
3. Sunder D.L. and Anshul G (2012) Managing Innovation for Competitive advantage. In Patel R., Tanted N., Phatak Y., and Sharma R K. (Eds.) *Business Innovations and Entrepreneurship: Transforming World Economy*, (pp. 30 –39). New Delhi, Excel Books.
4. Sunder D. L. and Anshul G. (2012, Feb) Takeover Regulations in India. Paper presented at the International conference on Developing strategies for organizations in global economies: Prospects, issues and challenges, Dewas.
5. Sunder D. L. and Anshul G. (2011, March). Is Knowledge Management a Fad? Paper presented at the National Conference on Emerging trends in information technology & management, Indore.
6. Anshul G and Sunder D L. (2011, Feb). Is Organized Retailing a Threat to Small Retailers? Perceptions of Retailers and Consumers. Paper presented at the 11<sup>th</sup> National Conference on Mapping for Excellence: Challenges Ahead, Indore.
7. Sunder D.L. and Sounder Rajan. (2010, Feb). Intrapreneurs: The changing Role of Managers in the Economic Resurgence of India. Paper presented at the National Conference on Role of Professional Managers in the Current Economic Resurgence of India, Chennai.



8. Sunder D. L (2008, May) Innovation and Entrepreneurship for Inclusive Growth. Paper presented at the National Seminar on Globalization and Inclusive Growth, New Delhi.
9. Sunder D.L. (1999, Dec) Entrepreneurship and Social Change. Paper presented at the XXIII Indian Social Science Congress, Coimbatore.

#### Working Papers:

1. Sunder D L & Jayasankar Ramanathan (2016). Market Reactions to Acquisition Announcements in India: Do Premiums Matter?
2. Jayasankar Ramanatham & Sunder D L (2016). Do Investors See New Product Introductions as Value Adding Activities? An Analysis of Stock Market Reactions to New Product Announcements in India.
3. Sunder D L & Keyur T (2017). Valuation of Pre-revenue Start-ups: Issues and Challenges.
4. Sunder D L (2018) A 360 degree view of class participation.

#### Cases:

1. Pandey A, Mohod M & Sunder D.L. (2012). JAM: Juices and More. IIM Indore
2. Sunder D.L., (2013). "To Be Or Not To Be". (Part A), IIM Indore.
3. Sunder D.L. (2014) "To Be or Not to Be" (Part B), IIM Indore
4. Neetika Sharma Mehta and Sunder D.L. (2014) "Avika Fuel Center". IIM Indore.
5. Sunder D L & Manoj M (2015) IITL (A Case on Make in India).
6. Sunder D L & Manoj M (2015). War of Perception: EVOMO a new Juggad or Revolution
7. Keyur T and Sunder D L (2016). Shakti Solar Pumps
8. Pankaj Gupta & Sunder D I (2017) The Entrepreneurs Dilemma – Nursery Live Dot Com

#### Others:

1. A Book Review on "Making Breakthrough Innovation Happen" by Munshi Porus was published in the Indore Management Journal, Vol 1, Issue 4, 2010. pp 122-123.
2. A Case Analysis on the case "Quo Vadis – The Retail Hub Business of National Bank" was published in the Indore Management Journal, Vol 1, Issue 3, 2009. pp 77-79.

#### Teaching Material:

1. Note on SEBI (SAST) Regulations 2011

HA

**Contact information:** (e-mail [sunder@iimidr.ac.in](mailto:sunder@iimidr.ac.in), phone +91 9893298522)

Prof. Himanshu Rai  
 Director  
 भारतीय प्रबंध संस्थान इन्दौर  
 Indian Institute of Management Indore  
 प्रबन्ध शिक्षण/Prabandhi Shikhar  
 राउ-पीथम्पुर रोड, इन्दौर- 453556  
 Rau-Pithampur Road, Indore- 453556  
 इ. प्र., भारत/M.P., India



**CURRICULUM VITAE (CV): Dr Sushanta Kumar Mishra**

1. **Name of Staff:** SUSHANTA KUMAR MISHRA  
 2. **Proposed Position:** Institutional Development Expert  
 3. **Employer:** INDIAN INSTITUTE OF MANAGEMENT INDORE  
 4. **Date of Birth (DD/MM/YYYY) :** 01/06/1972  
 5. **Nationality/ Country of Residence:** Indian/ India  
 6. **Education :**

S#	Degree/certificate or other specialized education obtained	School, college and/or University Attended	Degree/certificate Issuing University/ Board/ Agency	Year Obtained
1.	Fellow Program in Management PhD : HRM/Psychology	Indian Institute of Management Ahmedabad	Indian Institute of Management Ahmedabad	2009
2.	Bachelor of Engineering	Regional Engineering College Rourkela	Sambalpur University	1993

7. **Professional Certification or Membership in Professional Associations :** Academy of Management USA

8. **Employment Record :** More than Twenty five years

Period	Employing organization & your title position	Contact Information for Reference	Country of Work Experience	Summary of activities performed relevant to this Assignment
2009-continuing	IIM INDORE	Director 0731 -2439501	INDIA	1. Research 2. Teaching 3. Institutional Development 4. Consulting
1993 to 2007	RSP Steel Authority of India Ltd SAIL	CMD RSP	India	Management

प्र. हिमंशु राय/Prof. Himanshu Rai  
निदेशक/Director

9. **Countries of Work Experience :** INDIA  
 Indian Institute of Management Indore  
 प्रबंध निदेशक/Prabandh Shikhar  
 राउ-पीथमपुर रोड, इन्दौर- 453556  
 Rau-Pithampur Road, Indore- 453556  
 म. प्र., माला/M.P., India

**10. Languages Known :**

Language	Read	Write	Speak
HINDI	YES	YES	YES
ENGLISH	YES	YES	YES
ODIA	YES	YES	YES

**11. Work Undertaken that Best Illustrates Capability to Handle the Tasks Assigned :**

Involvement in Institutional Development Activities:	
1	Chair FPM with focus on reviewing existing programme and introducing new programmes.
2	Chair Research with focus on increasing research output of the institute.
3	Member – committee on internationalization of programmes at the institute
4	Member – Faculty Development and Evaluation Committee

**Other Assignment 1**

<b>Name of assignment or project</b>	Impact assessment of MGNREGA in three districts of MP
<b>Year</b>	2010-12
<b>Location</b>	MP
<b>Client</b>	MP
<b>Positions held</b>	Project Leader
<b>Detailed Tasks Assigned on Consultant's Team of Experts</b>	To assess the impact of MGNREGA in Dhar, Jhabua and Rajgarh districts of MP.
<b>Reference to Prior Work/Assignments that Best Illustrates Capability to Handle the Assigned Tasks</b>	Excellent in social research methods .
<b>Activities performed (List all deliverables/tasks as in TECH- 5 in which the Expert was involved)</b>	Client meeting, understanding the research problem through primary and secondary data. Developing Research methodology for the project . Data Collection, analysis and conclusions . Preparation of final report after due discussions and adding the suggestions . Report developed to help further enhance capabilities in high tech industry and policy planning .



### Assignment 2

Name of assignment or project	Turnkey project for designing and executing a recruitment process
Year	2011
Location	Indore
Client	MPPKVV
Positions held	Expert
Detailed Tasks Assigned on Consultant's Team of Experts	Interviewing and analysis
Activities performed (List all deliverables/tasks as in TECH- 5 in which the Expert was involved)	Interviewing and analysis

### Assignment 3

Name of assignment or project	Teacher effectiveness through self-efficacy, collaboration and principal leadership. <i>International Journal of Educational Management.</i>
Year	2016-17
Location	MP
Client	Indian Institute of Management Indore
Positions held	Co-researcher
Detailed Tasks Assigned on Consultant's Team of Experts	To assess the antecedents of teacher self-efficacy
Reference to Prior Work/Assignments that Best Illustrates Capability to Handle the Assigned Tasks	Data collection, analysis and reporting
Activities performed (List all deliverables/tasks as in TECH- 5 in which the Expert was involved)	Data collection, analysis and reporting

### Assignment 4

Name of assignment or project	Exploring the process of identity construction among software engineering students in India. <i>Information Technology and People</i> , 29(1), 146-172.
Year	2015-16
Location	MP
Client	Indian Institute of Management Indore

श्री. प्रो. रा. प्रो. हिमंशु राय  
 निदेशक/Director  
 भारतीय प्रबंधन संस्थान इंदौर  
 Indian Institute of Management Indore  
 प्रबंध निदेशक/Prabandh Shikhar  
 राउ-पिथम्पुर रोड, इंदौर- 453556  
 Rau-Pithampur Road, Indore- 453556  
 म.प्र., भारत/M.P., India

Positions held	Co-researcher
Detailed Tasks Assigned on Consultant's Team of Experts	To explore the identity construction process of software engineering students in India.
Activities performed (List all deliverables/tasks as in TECH- 5 in which the Expert was involved)	Data collection, analysis and reporting

#### Assignment 5

Name of assignment or project	Moderation effects of personality and organizational support on the relationship between prior job experience and academic performance of management students. <i>Studies in Higher Education</i> , 39(6), 1022-1038.
Year	2013-14
Location	MP
Client	Indian Institute of Management Indore
Positions held	Co-researcher
Detailed Tasks Assigned on Consultant's Team of Experts	To explore the antecedents of academic performance of management students.
Activities performed (List all deliverables/tasks as in TECH- 5 in which the Expert was involved)	Data collection, analysis and reporting

#### Assignment 6

Name of assignment or project	Impact and Implications of Workplace Loneliness: A two Sample Mixed Method Study
Year	2014-16
Location	MP
Client	Indian Institute of Management Indore
Positions held	Advisor
Detailed Tasks Assigned on Consultant's Team of Experts	To explore the causes of workplace loneliness among Nurses and BPO employees.
Activities performed (List all deliverables/tasks as in TECH- 5 in which the Expert was involved)	Data collection, analysis and reporting

म. रमेश शर्मा/Prof. Himanshu Rai  
 निदेशक/Director  
 भारतीय प्रबंध संस्थान इंदौर  
 Institute of Management Indore  
 प्रबंध-शिक्षण/Prabandh Shikhar  
 राउ-पीथमपुर रोड, इंदौर- 453556  
 Rau-Pithampur Road, Indore- 453556  
 म. प्र., भारत/M.P., India

Expert's contact information: (e-mail [sushantam@iimidr.ac.in](mailto:sushantam@iimidr.ac.in), phone 731 2439520)

## CURRICULUM VITAE (CV): Dr Pritam Ranjan

**Name of Staff:** Dr Pritam Ranjan

**Proposed Position:** Statistician

**Employer:** INDIAN INSTITUTE OF MANAGEMENT INDORE

**Date of Birth (DD/MM/YYYY) :** 05/01/1980

**Nationality/ Country of Residence:** Indian/ India

### Education

- Ph.D. in Statistics, Simon Fraser University, Burnaby, BC, Canada (2003 - 2007)  
Thesis title - *Factorial and Fractional Factorial Designs with Randomization Restrictions - A Projective Geometric Approach* [advisor: Derek Bingham]
- Master of Statistics (M.Stat), Indian Statistical Institute, Kolkata, India (2001 - 2003) Specialization: Mathematical Statistical and Probability
- Bachelor of Statistics (B.Stat-Hons.), Indian Statistical Institute, Kolkata, India (1998 - 2001)

### Professional Memberships

- Calcutta Statistical Association (2019 - )
- International Indian Statistical Association (2018 - )
- Indian Statistical Institute Alumni Association (2018 - )
- Statistical Society of Canada (2005 - 2017)
- American Statistical Association (2005 - 2015)

### Employment:-

#### Current Affiliations

- June 2015 – Associate Professor, OM&QT, IIM Indore, MP, India
- Aug 2016 – Adjunct Professor, Math & Stats, Acadia University, NS, Canada
- Nov 2012 – Adjunct Professor, Statistics & Ac. Sci., Simon Fraser Univ., BC, Canada

#### Previous Affiliations

- July 2011 – July 2016 Associate Professor, Math & Stats, Acadia University, NS, Canada (on leave during June 2015 - July 2016)
- July 2007 - June 2011 Assistant Professor, Math & Stats, Acadia University, NS, Canada
- Sept. 2006 - Dec 2006 Sessional Instructor, Simon Fraser University, B.C., Canada
- July 2012 – June 2017 Adjunct Professor, Math & Stats, Dalhousie Univ., NS, Canada

W

Dr. Himanshu Rai/Prof. Himanshu Rai  
विभागाध्यक्ष/Director  
भारतीय प्रबंध संस्थान इन्दौर

Indian Institute of Management Indore  
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प्रीतम रंजन/Dr. Pritam Ranjan  
9422 120-27016



## Projects

- Statistician (IVA for SANKALP): Verification of claims against Disbursement Linked Indicators for the World Bank Supported SANKALP initiative of the Government of India.(2018-2019)
- Grants to support Research Collaboration by visiting other institutions (Queen's University and Acadia University) received from IIM Indore (May-June 2018) Rs. 4,00,000.00 (INR)
- (PI) Extra Mural Research (EMR) Funding (Individual Centric) from DST (SERB), Government of India, EMR/2016/003332/MS, (2016 - 2019) *From SmallData to BigData: Complex Computer Modelling and Optimization*, Co-PI: Snehanshu Saha (PESIT South), External advisor: Abhyuday Mandal (UGA), Rs. 15,14,688.00 (INR).
- (PI) Discovery grant from Natural Sciences and Engineering Research Council (NSERC) of Canada, 2013 - 2018, *Computer Experiments and Multi-stage Factorial Designs*, \$75,000. (\$15,000 per year) Terminated in 2016 due to the move to India.
- Collaborative Research Team grant from Canadian Statistical Sciences Institute (CANSSI), 2014 - 2019, *Statistical Modeling of the World: Computer and Physical Models in Earth, Ocean, and Atmospheric Sciences*, \$200,000 [co-applicant with Derek Bingham, William Welch and Hugh Chipman]
- Harrison McCain Foundation Awards, Acadia University (2013 - 2014), *Visitorship for Acadia Scholars*, \$8,400
- University research grant, Acadia University (2013 - 2014), *Space-filling Latin Hypercube Designs based on Stars in  $Ptt(p - 1, 2)$* , \$3,500
- Co-Investigator in the collaborative research grant for the project: *Classification Methods for Measuring Segregation* (2010-2011), PI: Crystal Linkletter, Brown University, \$4,000
- MITACS internship grant with Wilson Lu for Alex Traikov, M.Sc. (May - August 2010), *Statistical Modeling for Extracting Solar Radiation Data from Satellite Images*, \$15,000
- University research grant, Acadia University (2009 - 2010), *Surrogate Modeling for Black-Box Functions*, \$2,500
- Teaching and Learning Enhancement Award, Acadia University (2009 - 2010), *Online Home-work to Enhance Introductory Mathematics and Statistics Courses Pilot Project* (Principal Investigator with Eva Curry) \$9,500
- MITACS internship grant with Hugh Chipman for Shujie Li, M.Sc. (May - Dec 2008), *User Modelling and Feature Selection for Personalized Local Search*, \$30,000
- University research grant, Acadia University (2008 - 2009), *Developing Adaptive Statistical Methods for the Design and Analysis of Expensive Computer Experiments*, \$2,300
- NSERC Discovery grant (2008 - 2013), *Design and Analysis of Computer Experiments and Multi-stage Factorial Experiments*, \$60,000 (\$12,000 per year)
- Startup grant, Acadia University (2007 - 2009), \$12,000

## Editorial Positions

- Associate Editor: *Canadian Journal of Statistics* (Jan 2019 - Present)
- Guest co-Editor, Special issue on “Algorithms, Analysis and New Methodologies in Design of Experiments”, Vol ??, Issue ?? (2020) *Journal of Statistical Theory and Practice*, Springer.
- Associate Editor: *Journal of Royal Statistical Society - Series C* (Jan 2014 - Dec 2017)
- Editorial review board member: *Journal of Quality Technology* (July 2012 - Dec 2017)
- Associate Editor: *Journal of Statistical Software* (July 2013 - 2015)
  
- Reviewer for Individual Discovery grants of Natural Sciences of Engineering and Research Council (NSERC) of Canada
- Refereed research articles for several top journals including *Annals of Statistics*, *Annals of Applied Statistics*, *Technometrics*, *Statistica Sinica*, *JSPI*, *CSDA*, etc.

## Refereed Publications (Under Review)

- Spencer, N.A., Ranjan, P., and Mendivil, F., (2019), “Isomorphism Check for  $2^k$  Factorial Designs with Randomization Restrictions” (**submitted**) in *Journal of Statistical Theory and Practice* [arXiv:1310.3574]
- Yang F., Lin, C.D., and Ranjan, P. (2019), “Global Fitting of the Response Surface via Estimating Multiple Contours of a Simulator” (**submitted**) in *Journal of Statistical Theory and Practice* [arXiv:1902.01011]
- Danish, S., Ranjan, P. and Sharma, R. (2018), “Valuation of patents in emerging economies: a renewal model based study of Indian patent”, (**submitted**) in *Technology Analysis and Strategy Management*.
- Zhang, R., Lin, C.D., and Ranjan, P. (2018), “A Sequential Design Approach for Calibrating a Dynamic Population Growth Model”, (**submitted**) in *SIAM-ASA Journal on Uncertainty Quantification*. [arXiv:1811.00153].

## Refereed Publications

- Bhattacharjee, N.V., Ranjan, P., Mandal, A. and Tollner, E.W. (2019), “A Statistical Approach for Calibrating Hydrological Models”, (**accepted**) in *Environmental and Ecological Statistics* [arXiv:1709.02907].
- Harshvardhan, M. and Ranjan P. (2019), “Statistical Modelling and Analysis of the Computer- Simulated Datasets”, in Handbook of Research on Cloud Computing and Big Data Applications in IoT. IGI Global. (**in press**) [Book Chapter]
- Mukhoti, S., and Ranjan, P., (2019), “A New Class of Discrete-time Stochastic Volatility Model with Correlated Errors”, *Applied Economics*, **51(3)**, 259-277.

- Zhang, R., Lin, C.D., and Ranjan, P. (2018), “Local Gaussian Process Model for Large-Scale Dynamic Computer Experiments”, *Journal of Computational and Graphical Statistics*, **27(4)**, 798-807.



- Ranjan, P., Thomas, M., Teismann, H. and Mukhoti, S., (2016), "Inverse problem for time- series valued computer model via scalarization", *Open Journal of Statistics*, **6**, 528-544.
- Mukhoti, S., and Ranjan, P., (2016), "Mean-correction and Higher Order Moments for a Stochastic Volatility Model with Correlated Errors", *International Journal of Statistics and Probability*, **5(4)**, 102-110.
- Gramacy, R., Gray, G., Le Digabel, S., Lee, H., Ranjan, P., Wells, G., and Wild, S. (2016), "Rejoinder" for discussion on "Modeling an Augmented Lagrangian for Improved Blackbox Constrained Optimization", *Technometrics*, **58(1)**, 26-29.
- Gramacy, R., Gray, G., Le Digabel, S., Lee, H., Ranjan, P., Wells, G., and Wild, S. (2016), "Modeling an Augmented Lagrangian for Improved Blackbox Constrained Optimization", *Technometrics*, **58(1)**, 1-11.
- MacDonald, K.B., Ranjan, P. and Chipman, H. (2015). GPfit: An R Package for Fitting a Gaussian Process Model to Deterministic Simulator Outputs. *Journal of Statistical Software*, **64(12)**, 1-23.
- Ranjan, P. and Spencer, N. (2014), "Space-filling Latin Hypercube Designs based on Random- ization Restrictions in Factorial Experiments", *Statistics & Probability Letters*, **94**, 239 - 247.
- Bingham, D., Ranjan, P., and Welch, W. (2014), "Sequential Design of Computer Exper- iments for Optimization, Estimating Contours, and Related Objectives", in *Statistics in Action: A Canadian Outlook*. (J. F. Lawless, eds.) pp 109 – 124, Chapman and Hall/CRC, ISBN: 978-1-4822-3623-1, DOI: 10.1201/b16597-8. [Book Chapter]
- Butler, A., Haynes, R., Humphries, T.D., and Ranjan, P. (2014), "Efficient Optimization of the Likelihood Function in Gaussian Process Modeling", *Computational Statistics and Data Analysis*, **73**, 40–52.
- Agarwal, R., and Ranjan, P. (2014), "A New Tree-Based Classifier for Satellite Images", In J. Wang (Ed.), *Encyclopedia of Business Analytics and Optimization* (pp. 30-38). IGI Global, Hershey, PA. doi:10.4018/978-1-4666-5202-6.ch003. [Book Chapter]
- Agarwal, R., Ranjan, P. and Chipman, H. (2013), "A new Bayesian Ensemble of Trees Ap- proach for Land Cover Classification of Satellite Imagery", *Canadian Journal of Remote Sensing*, **39**, 507–520.
- Ranjan, P. (2013), "Comment: EI Criteria for Noisy Computer Simulators" – Discussion of 'Quantile-Based Optimization of Noisy Computer Experiments with Tunable Precision' by Picheny et al. (2013), *Technometrics*, **55(1)**, 24–28.
- Ranjan, P. and Spencer, N. (2013), "A Unified Approach to Factorial Designs with Random- ization Restrictions" In *Calcutta Statistical Association Bulletin*, **65(1-4)**, 43–62.
- Chipman, H., Ranjan, P. and Wang, W. (2012), "Sequential Design for Computer Exper- iments with a Flexible Bayesian Additive Model", *Canadian J. Statis.*, **40(4)**, 663–678.
- Linkletter, C.D., Ranjan, P., Lin, C.D., Bingham, D.R., Brenneman, W.A., Lockhart, R.A. and Loughin, T.M. (2012), "Compliance Testing for Random Effects Models with Joint Ac- ceptance.. Criterion", *Technometrics*, **54(3)**, 243–255.



- Ranjan, P., Haynes, R. and Karsten, R. (2011), "A Computationally Stable Approach to Gaussian Process Interpolation of Deterministic Computer Simulation Data", *Technometrics*, **53(4)**, 366–378.
- Ranjan, P., Lu, W., Bingham, D., Reese, S., Williams, B. J., Chou, C-C., Doss, F., Grosskopf, M. and Holloway, J. P. (2011), "Follow-up Experiment Designs for Computer Models and Physical Processes", *Journal of Statistical Theory and Practice*, **5(1)**, 119–136.
- Franey, M., Ranjan, P. and Chipman, H. (2011), "Branch and Bound Algorithms for Maximizing Expected Improvement Functions", *Journal of Statistical Planning and Inference*, **141(1)**, 42 – 55.
- Ranjan, P., Bingham, D. and Mukerjee, R. (2010), "Stars and Regular Fractional Factorial Designs with Randomization Restrictions", *Statistica Sinica*, **20**, 1637 – 1653.
- Ranjan, P. (2010), "Comment" – Discussion of 'Galaxy Formation: a Bayesian Uncertainty Analysis' by Vernon, I., Goldstein M. and Bower, R., *Bayesian Analysis*, **5(4)**, 677 – 682.
- Ritcey, D. and Ranjan, P. (2010), "Statistical Models for the Banker's Offer in Deal or No Deal", *The Atlantic Electronic Journal of Mathematics*, **4(1)**, 1 – 22.
- Stanley, C., O'Driscoll, N. and Ranjan, P. (2010), "Determining the Magnitude of True Analytical Error in Geochemical Analysis", *Geochemistry: Exploration, Environment, Analysis*, **10(4)**, 355 – 364.
- Ranjan, P., Bingham, D. and Dean, A. (2009), "Existence and Construction of Randomization Defining Contrast Subspaces for Regular Factorial Designs", *The Annals of Statistics*, **37(6A)**, 3580 – 3599.
- Mandal, A., Ranjan, P. and Wu, C.J.F. (2009), "G-SELC: Optimization by Sequential Elimination of Level Combinations using Genetic Algorithms and Gaussian Processes", *The Annals of Applied Statistics*, **3(1)**, 398 – 421.
- Ranjan, P., Bingham, D. and Michailidis, G. (2008), "Sequential Experiment Design for Contour Estimation from Complex Computer Codes", *Technometrics*, **50**, 527-541. Errata, *Technometrics*, **53(1)**, 109–110.

#### Unpublished Manuscripts

- Franey, M., Ranjan, P. and Chipman, H., (2012), "A Short Note on Gaussian Process Modeling for Large Datasets using Graphics Processing Units" (*arXiv:1203.1269 [stat.CO]*).

#### Open Source Software

- Zhang, Ru., Lin, C.D. and Ranjan, P. (2018), "DynamicGP: Local Gaussian Process Model for Large-scale Dynamic Computer Experiments". **R package.** [\[http://cran.r-project.org/web/packages/DynamicGP/\]](http://cran.r-project.org/web/packages/DynamicGP/)
- MacDonald, K.B., Chipman, H. and Ranjan, P. (2015), "GPfit: A Computationally Stable Approach of Fitting a Gaussian Process Model to a Deterministic Simulator". **R package.** [\[http://cran.r-project.org/web/packages/GPfit/\]](http://cran.r-project.org/web/packages/GPfit/)



## Working Papers

- vanBommel, M., Ranjan, P. and Chipman, H. (2019), "Multi-stage Surrogate Modelling for the Placement of Tidal Turbines in the Bay of Fundy", (**targeting**) *Journal of Royal Statistical Society - Series C*.

## Invited Conference Presentations

- "Estimation of the Inverse Solution from a Dynamic Computer Model", 10th International Triennial Calcutta Symposium on Probability and Statistics, Kolkata, India (Dec 2018)
- "Localized Gaussian Process Based Surrogate for Dynamic Computer Simulators", SSC 2018 Annual Meetings, Montreal, Canada (June 2018)
- "Calibration of Two Delay Blowfly Model using Gaussian Process based Emulator", IISA 2017 (International conference on statistics), Hyderabad, India (Dec 2017)
- "Batch-Sequential Designs for Estimating Multiple Contours from a Complex Computer Simulator", IASSL 2017 (International conference), Colombo, Sri Lanka (Dec 2017)
- "A Comparative Study of Discrete-time Stochastic Volatility Models", Statistical Methods in Finance (StatFin) 2017, Chennai, India (Dec 2017)
- "Inverse Problem for Dynamic Computer Simulators", 5th IIMA International Conference on Advanced Data Analysis, Business Analytics and Intelligence (ICADABAI-2017), Ahmedabad, India (April 2017)
- "Space-filling Latin Hypercube Designs based on Randomization Restrictions in Factorial Experiments", Joint Research Conference, Seattle, USA (June 2014).
- "A New Multi-stage Sequential Design Approach for Estimating Quantiles of Simulator Outputs". Statistical Society of Canada, Annual Meeting, Edmonton, AB (May 2013).
- "A Unified Approach to Factorial Designs with Randomization Restrictions", Eighth International Triennial Calcutta Symposium on Probability and Statistics, Kolkata, India (Dec 2012).
- Featuring our paper "Compliance Testing for Random Effects Models with Joint Acceptance Criteria" in the Technometrics session at INFORMS, Charlotte, NC (November 2011).
- "Interpolation of Deterministic Simulator Outputs using a Gaussian Process Model". Accelerating Industrial Productivity via Deterministic Computer Experiments and Stochastic Simulation Experiments - at the Isaac Newton Institute in Cambridge, UK (September 2011).
- "Deterministic Computer Models and GP as an Interpolator". Spring Research Conference, Vancouver, BC (June 2009).
- "Batch-Sequential Designs for Estimating Process Features of Expensive Simulators". Statistical Society of Canada, Annual Meeting, Ottawa, ON (May 2008).



- “Randomization Restrictions in Factorial Designs and Geometric Structures in  $Ptt(p-1, 2)$ ”. Design and Analysis of Experiments - DAE 2007, Memphis (October 2007).
- “Intensive Computing in Design of Experiments for Computer Models”. Summer Workshop on High Performance Computing in the Mathematical Sciences, Acadia Univ. (July 2007).
- “Inverse Problems for Complex Computer Codes”. Theme for 2007: Workshop III – Application of Statistics to Numerical Models, National Center for Atmospheric Research (May 2007).
- “Sequential Experiment Design for Contour Estimation from Complex Computer Codes”. INFORMS, Annual Meeting, Pittsburgh (October 2006).

I have also presented this as invited talks at

- Statistical Society of Canada, Annual Meeting, London (June 2006).
- Joint Statistical Meetings, Seattle (August 2006)
- Statistical Society of Canada, Annual Meeting, Saskatoon (June 2005).
- Design and Analysis of Experiments Conference, New Mexico (October 2005)
- National Program on Complex Data Structures workshop, Banff (April 2005)

#### Invited Seminar Presentations at Universities

- Expert talk on “Applications of Statistics in Engineering”, Medicaps University, Indore, MP (March 19, 2018)
- “Computer Experiments - A Brief Overview”, Indian Statistical Institute Delhi (May 3, 2017)
- “Statistical Modelling and Inference for Computer Experiments”, Indian Institute of Technology, Indore, India (April 18, 2017)
- “Statistical Modelling for Dynamic Computer Simulators”, Indian Institute of Management Ahmedabad, India (March 16, 2017)
- “Space-filling LHDs and Star-based Multi-stage Factorial Designs”, University of Georgia, Athens, GA, USA (May 2014).
- “Factorial Experiments with Randomization Restrictions and Space-filling Designs”, Indian Statistical Institute, Kolkata, India (March 2014).
- “Latin Hypercube Designs based on Multistage Factorial Experiments”, Indian Institute of Technology, Patna, India (January 2014).
- “Tikhonov Regularization for Emulating Deterministic Computer Simulators”. Department of Statistics, University of Georgia (Aug 2010).
- “Gaussian Process Model as an Interpolator for a Deterministic Computer Simulator”. Department of Mathematics and Statistics, Boston University (Sept 2009).

W

प्रो. दिनेश कुमार राव, Hiranishu Rai  
निदेशक/Director

भारतीय प्रबंध संस्थान इन्दौर

Indian Institute of Management Indore

प्रबन्ध शिक्षक Prabandh Shikhar

राज-पीथमपुर रोड, इन्दौर- 453553

Rau-Pithampur Road, Indore- 453556

म.प्र., भारत/M.P., India





- “Sequential Designs for Estimating Pre-specified Process Features”. Department of Mathematics and Statistics, University of Winnipeg (Feb 2008).
- “An Overview on Design and Analysis of Computer Experiments”. Department of Mathematics and Statistics, Dalhousie University (Oct 2007).
- “Introduction to Randomization Restrictions”. Statistics and Actuarial Science Graduate Student Seminar Series, Simon Fraser University (May 2006).
- “Introduction to Support Vector Machine”. Statistics and Actuarial Science Graduate Student Seminar Series, Simon Fraser University (Feb 2005).

### Poster Presentations

- “GPfit: An R library for a Computationally Stable Approach to Gaussian Process Interpolation of Deterministic Simulators”. Design and Analysis of Experiments (DAE) Conference, Athens, Georgia (October 2012)
- “Sequential Design for Solving Inverse Problem for Expensive Deterministic Computer Simulators”. Statistical Society of Canada, Annual Meeting, Vancouver (June 2009)

## MENTORING ACTIVITIES

### Student Supervision

- Research assistants - at IIM Indore
  - Harshvardhan, IPM 2016-21 batch (Summer 2017, 2018)
- Thesis committee - at IIM Indore
  - Ankita Chhabra (PhD 2013-18, in Strategy Management), Thesis Advisory Committee member (TAC Chair: Prof. Manish Popli)
- Thesis committee - at other institutions
  - Shadab Danish (PhD 2016-20, in Economics at IIT Indore), PSPC member (Supervisor: Dr. Ruchi Sharma)
- Ph.D. students
  - Ru Zhang (co-supervision with C.D. Lin, Queens Univ.) 2014 – 2018 Thesis: Modeling and Analysis of Dynamic Computer Experiments
- Thesis committee

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*(Signature)*

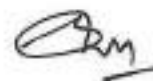
• M.Sc. students (thesis required) - at Acadia

- Natalia Bhattacharjee (MS co-supervision with A. Mandal at UGA) 2014 - 2018
  - \* Thesis: A Statistical Approach for Calibrating Hydrological Models
- Mark Thomas (with H. Teismann, Sept 2013 - July 2015)
  - \* Thesis: Inverse Problem for Computer Simulators with Time Series Response.
- Andrew Balzer (with R. Karsten, Sept 2013 - June 2015; CANSSI funded project.)
  - \* Thesis: Calibration of Tidal Power Model with Multiple Time-series Response.
- Kanika Anand (with H. Chipman, Jan 2013 - Feb 2015)
  - \* Thesis: An Expected Improvement Criterion for the Global Optimization of a Noisy Computer Simulator.
- Alex Traikov (with W. Lu, 2009-2011) [MITACS co-op at Turquoise Technology Solution Inc., Montreal; joined Spielo, Moncton]
  - \* Thesis: Improving a Solar Irradiance Model using Statistical Methods.
- Mark Franey (with H. Chipman, 2008-2010) [co-op for CSEC, NSERC-CGS(M); joined the Communications Security Establishment Canada (CSEC)]
  - \* Thesis: Accelerating Statistical Computing with Graphics processing units.
- Shujie Li (with H. Chipman, 2007-2009) [MITACS co-op at GenieKnows; joined the Ph.D. program in the dept. of Epidemiology and Biostatistics at McGill University]
  - \* Thesis: Query Classification based on a New Query Expansion Approach.

• B. Sc. honours students (thesis required) - at Acadia

- Matthew van Bommel (with H. Chipman, 2013-2015) [NSERC-USRA (2); best student presentation award at SSC 2014]
  - \* Thesis title: Optimal Design for Placement of Tidal Turbines in the Minas Passage
- Neil Spencer (with F. Mendivil, 2011-2013) [NSERC-USRA (2); CGS(M); best student presentation award at SSC 2014; best *communication award* (for paper presentation) in Science Atlantic conference 2011, 2012; joined the M.Sc. program in Statistics at UBC]
  - \* Thesis title: Isomorphism of Spreads and Stars
- K. Blake MacDonald (with H. Chipman, 2011-2012) [NSERC-USRA; *best presentation award* (for paper presentation) in Statistics at Science Atlantic conference 2011; joined the graduate Actuarial program at University of Waterloo]

\* Thesis title: GPfit: A New R Package for Fitting Gaussian Process Models to Deterministic Simulators





- Amber Corkum (with R. Karsten and R. Haynes, 2010-2011) [NSERC-USRA; joined MSc program in Statistics at Acadia University]
  - \* Thesis: Particle Swarm Optimization Applied to Tidal Turbine Placement in the Minas Passage
- Amanda Swan (with R. Karsten and R. Haynes, 2010-2011) [NSERC-USRA; joined MSc program in Mathematics at University of Alberta]
  - \* Thesis: Modeling Power Output for Tidal Turbines
- Corey Hodder (2009-2010) [NSERC-USRA, PGS(M); joined the M.Sc. program in the department of Mathematical Finance at University of Toronto]
  - \* Thesis: Parameter Estimation for Deterministic Simulators with Time Series Output
- David Ritcey (2009-2010) [NSERC-USRA; joined Dalhousie medical school]
  - \* Thesis: Regression based Models for the Banker's Offers in Deal or No Deal
- WeiWei (Vivi) Wang (with H. Chipman, 2009-2010) [Acadia-HSRA; joined Deloitte in Halifax, NS, as an accountant]
  - \* Thesis: Modeling Energy Output to Optimize Tidal Turbine Placement
- B. Sc. honours thesis committee member (Supervisor: Ronald Haynes) - Andrew Butler at Memorial University of Newfoundland, 2013.
  - Thesis: Efficient Optimization of the Likelihood Function in Gaussian Process Modelling
- Research assistants - at Acadia
  - Neil Spencer (with F. Mendivil, Summer 2013)
  - Matthew van Bommel (with H. Chipman, Summer 2013) [NSERC-USRA]
  - Blake MacDonald (with H. Chipman, Summer 2012)
  - Neil Spencer (with F. Mendivil, Summer 2011) [NSERC-USRA]
  - Carla Doyle (with John Murimboh and Clifford Stanley, Summer 2009)
  - Mark Franey (with H. Chipman, Summer 2008)
- Thesis committee - at Acadia
  - Mitchell O'Flaherty-Sproul (Internal examiner - M.Sc., Mathematics, Summer 2013)
  - Sara-Lynne Jones (Chair, M.Ed., Thesis defense, 2012)
  - Luke Poirier (Thesis committee member - M.Sc., Biology, 2012-2014)
  - Yunsong Cui (Acting external - M.Sc., Statistics, April 2009)
  - Megan Lickley (Internal examiner - B.Sc., Honours thesis, February 2009)
  - Duncan MacDonald (Acting external - M.Sc., Statistics, November 2008)
  - Kathleen Wilder (Internal examiner - B.Sc. Honours thesis, Statistics, May 2008)

*H.A.*





## SERVICE ACTIVITIES

### Scientific committees

- Member of the International Programme Committee (IPC) for the 6th IIMA International Conference of Advanced Data Analysis, Business Analytics and Intelligence (ICADABAI- 2019), Ahmedabad, India, April 06-07, 2019.
- Member of the International Programme Committee (IPC) for the 5th IIMA International Conference of Advanced Data Analysis, Business Analytics and Intelligence (ICADABAI- 2017), Ahmedabad, India, April 08-09, 2017.
- SPES (ASA) rep. to the Spring Research Conference Management Committee (2012 - 2015)
- SSC Local Representative at Acadia (2012-2014)
- Treasurer for Business and Industrial Statistics Section, SSC (2012-2015)
- Member of the New Investigators Committee, SSC (2010 - 2013)
- Member of the Student Research Presentation Awards Committee, SSC (2009, 2010)

### Conference Organizations

- Chaired the doctoral colloquium session in Conference on Excellence and Research in Edu- cation (CERE) - 2017, IIM Indore, India
- Chaired the Session 3B in International Conference on Advanced Data Analysis, Business Analytics and Intelligence (ICADABAI) - 2017, Ahmedabad, India
- Organized a topic contributed session on “Sequential Designs for Computer Experiments” in Joint Statistical meetings (2013), Montreal, QC
- Organized a BISS sponsored invited session on “Sequential Designs for Computer Experi- ments” in Statistical Society of Canada meetings (2013), Edmonton, AB
- Local organizing committee member, SSC meetings (2011), Acadia University, Wolfville, NS
- Organized an invited session on “Sequential Designs for Computer Experiments” in Statisti- cal Society of Canada meetings (2011), Wolfville, NS
- Organized an invited session on “Computer Experiments for Complex Environmental Pro- cesses” in Statistical Society of Canada meetings (2010), Québec City
- Chaired a contributed paper session on “Analysis of Computer Experiments and Variable Selection” in Spring Research Conference (2009), Vancouver
- Organized an invited paper session on “Statistical Issues in Complex Computational Models” (Session IPM62) in 57<sup>th</sup> ISI meetings (2009), Durban, South Africa
- Chaired a contributed paper session on “Probability” (Session 02tr) in Statistical Society of Canada meetings (2005), Saskatchewan

Institute level committees (at IIM Indore)

- FDEC (Faculty Development and Evaluation Committee) member (Oct 2018-2020)
- Library Committee Chair (2018 - 2020)
- FPM programme review committee member (2018)
- Interview panels: IPM, PGP and FPM
- FPM admission committee member (2015-2017)
- FPM (Industry) programme review committee member (2016)

University Committees (at Acadia)

- Chair of Senate Honours Committee, Acadia (2011-2013)
- Senate Honours Committee, Acadia (2009-2013)
- Honours Coordinator, Department of Math and Stats, Acadia (2011-present)
- Several departmental committees, Department of Math and Stats, Acadia

**Contact Details:** Email: [pritamr@iimidr.ac.in](mailto:pritamr@iimidr.ac.in) Cell phone: +91 - 7223068452

MA

मो. हिमंशु राव/Prof. Himanshu Rai  
निदेशक/Director  
भारतीय प्रबंध संस्थान इन्दौर  
Indian Institute of Management Indore  
प्रबंध निदेशक/Prabandh Shikhar  
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Rai-Pithampur Road, Indore- 453558  
ग. प्र., भारत/M.P., India

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## CURRICULUM VITAE (CV): Mr. Gopal Singh Jadon

1. **Name of Staff** : Mr. Gopal Singh Jadon
2. **Proposed Position** : Apprenticeship Expert
3. **Employer** : Indian Institute of Management Indore
4. **Nationality/ Country of Residence**: Indian/ India
5. **Education** :

S. N.	Degree/certificate or specialized education obtained	School, college and/or University Attended	Degree/certificate Issuing University/ Board/ Agency	Year Obtained
1	M. Phil	Vinayka Mission University, Salem	Vinayka Mission University, Salem	2009
2	PGDCA	Barkatullah University, Bhopal	Barkatullah University, Bhopal	2000
3	Master Of Library & Information Science	Jiwaji University, Gwalior	Jiwaji University, Gwalior	1998
4	Bachelor Of Arts	Barkatullah University, Bhopal	Barkatullah University, Bhopal	1996

### 6. Employment Record : > 20 years

Period	Employing organization & your title position	Country of Work Experience	Summary of activities performed relevant to this Assignment
2002 onwards	Indian Institute of Management Indore	India	Conduct recruitment process for Library Apprentice, Training of Apprentice, Heading Acquisition Section of the Library, Library Services, Remote access of Library e-resources, Safety issues of the Library & Library Statistics and Audit Internal & CAG.
2001–2002	Dainik Bhaskar (News Daily), Bhopal (M.P.)	India	Leading team of Reference desk and Library Section, Looking Administrative activities, Handling AP, AFP, PTI and Reuters databases for instantaneous Reference and data.
2000-2001	Extol Institute of Management, Bhopal (M. P.)	India	All library in-house operation & user services in computerized environment.
1998-1999	Lal Bahadur Shastri College, Gwalior	India	Procurement of Books, Subscription of Journals, Data creation in CDS/ISIS and Technical Processing, etc.



## 7. Countries of Work Experience: India

## 8. Work Undertaken that Best Illustrates Capability to Handle the Tasks Assigned:

	Involvement in Apprenticeship related Activities:
1	Conduct recruitment process for Library Apprentice for IIM Indore.
2	Conduct Orientation and Training of Apprentices.

## 9. Languages Known:

Language	Read	Write	Speak
English	Yes	Yes	Yes
Hindi	Yes	Yes	Yes

## 10. Publications

### Articles Publication in Journals

1. Rajput, P. S, **Jadon, Gopal Singh**, Sahoo, K. C. & Naidu, G. H. S.: Internet Resources and Services in Institute of Engineering and Science, IPS Academy Indore: An Exploratory Study. In *Library Progress (International)*. Vol. 27 (2), 2007, p.147-155.
2. Rajput, P. S & **Jadon, Gopal Singh**: A Step towards Developing of Digital Libraries: Changes and Challenges. In *Pearl: A Journal of Library and Information Science*. Vol. 1 (2), 2007, p.30.36.
3. Rajput, P. S, Naidu, G. H. S. & **Jadon, Gopal Singh**: Use of Open Public Access Catalogue in Devi Ahilya University Library Indore. In *SRELS Journal of Information Management*. Vol. 45 (1), 2008, p. 55-62.
4. Rajput, P. S, **Jadon, Gopal Singh**, & Naidu, G. H. S.: Information Management System in digital Era. *Research Link*. Issue 49 (A) Vol.III (2), 2008, p.122-124.
5. Jadon, N. S., **Jadon, Gopal Singh, Singh**, Amrita & Rajput, B. K: Web 2.0 Technologies: Library 2.0 and its implication for Libraries. *PEARL: A Journal of Library and Information Science*. Vol. 3 (1), 2009, p. 8-13.

### Book Chapters/Conference Proceedings

1. **Jadon, Gopal Singh** & Garg, Sonal (2014): Marketing of Library Services and Products with Special Reference to Corporate Libraries. In Rajput, P. S., Saraf, Sanjiv & Eqbal, Monawwer (EDs.), *Role of Libraries in Indian Culture and Management*, (pp.438-445). Delhi, India: Shree Kala Prakashan, ISBN: 81-86038-76-0
2. Hada, Kapil Singh, Bajpai, R. P., & **Jadon, Gopal Singh** (2012): ICT Infrastructure in Divisional Public Libraries of Madhya Pradesh: A Case Study. In Parvez, Akhtar, Kesavan, Venkata & Sharma, Jitender (EDs.), *Creating Wisdom and Knowledge Through Shared Learning* (pp.53-58). Delhi, India: Bookwell, ISBN: 978-93-80574-40-4

3. **Jadon, Gopal Singh**, Nimbhorkar, V., Rajput, B. K. & Sadhu, J (2012): The Code Changed the World: Open Source Software: A Study of DSpace. In Jose, Antony (Ed.), Advances in Digital Library Development (pp. 297-309). Delhi, India: Mcmillan, ISBN: 978-9350590775
4. Rajput, P. S., **Jadon, Gopal Singh** & Satpathy, K. C. (2012): Automation and Problems in their Implementation: A Survey of Special Libraries in Indore. In Satpathy, K.C. & Ramachandran, R (EDs.), ICT Applications in Library and Information Centres: Issues and Challenges (pp. 241-252). Jaipur, India: S K Jain & Sons, ISBN: 978-81-923520-1-5
5. Rajput, B. K., **Jadon, Gopal Singh** & Sharma, Kalpit (2011): U Learning Technology. In Eqbal, Monawwer (Ed.), Information Professionals: Issues and Challenges in Digital Age (pp. 277-281). New Delhi, India: Pragun Publication, ISBN: 938039713-9
6. Bajpai, R. P., Hada, Kapil Singh & **Jadon, Gopal Singh** (2010): Implementing Radio Frequency Identification in Libraries: A New Approach. In Kataria, Sanjay (EDs), Emerging Trends and Technologies in Libraries and Information Services. Delhi, India Krishna Book Distributors, ISBN: 978-8190799904
7. Jadon, N. S., **Jadon, Gopal Singh**, Jadon, Amrita Singh & Rajput, B K (2010) Phenomenon of Knowledge Management: The Role of Library and Information Professionals. In Tiwari, Ramesh Kumar (Ed.), Library Services in Electronic Environment (pp. 95-102). Gurgaon, India: J K Business School, ISBN: 978-81-909387-0-9
8. Jadon, N. S., **Jadon, Gopal Singh**, & Rajput, B. K. (2010): Content Management System: The Future of Web Services. In Singh, D.V. at. el. (Eds.), Library and Information Science in the Digital Era (pp. 385-392). Delhi, India: Indian Library Association, ISBN: 81-85216-43-6
9. **Jadon, Gopal Singh**, Singh, Amrita & Nimbhorkar, Vilas (2008): Use of RFID Technology in Libraries. In Kumar, Rajesh (Ed.), Recent Technological Trends in Management and Library System: Issue and Challenges (pp. 223-230). New Delhi, India: Wisdom Publications, ISBN: 81-89547-40-2
10. Jadon, N. S., **Jadon, Gopal Singh** & Rajput, P. S. (2007): Library 2.0 and Web 2.0 Emerging Technologies: It's Application in Libraries. In Singh, Jagtar at. el. (Eds), Developing Library and Information Resources and Service in the Internet Era (pp. 266-273). Delhi, India: Indian Library Association, ISBN: 81-85216-42-8

**Key Speaker/Session Chaired/Resources Person/ Rapporteur:**

1. Delivered Lecture on “**Social Cataloguing in Special Reference to Shelfari.com**” in National Seminar on Role of Libraries in Indian Culture and Management on April 11-12, 2014 at University College of Science, Mohanlal Sukhadia University, Udaipur
2. Chaired a Technical Session in National Seminar on “**Role of Libraries in Indian Culture and Management**” on April 11-12, 2014 at University College of Science, Mohanlal Sukhadia University, Udaipur

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प्र. दिगंशु राय/Prof. Himanshu Rai  
निदेशक/Director  
भारतीय प्रबंध संस्थान इन्दौर  
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3. Handled the responsibility of a Technical Session as Rapporteur in National Conference on **“Role of Academic Libraries for Excellence in Research (ROALER 2018)”** on April 14-16, 2016 at Indian Institute of Science & Education Research, Bhopal.
4. Contributed as Key Speaker in Alumni Meet & National Conference on **“Digital India: Transforming the Libraries and Society into Knowledge Society”** on December 1, 2017 at Devi Ahilya Vishwavidyalaya Indore.
5. Act as Judge in **“ViACON 2k18”** National Conference on **“Human Life: Unnatural Death”** by VidhiAagaz on Jan 28, 2018 at Institute of Law, Indore.

#### Conference & Seminar:

1. Participated in National Conference on **“Role of Academic Libraries for Excellence in Research (ROALER 2018)”** on April 14-16, 2016 at Indian Institute of Management Indore.
2. Participated in Alumni Meet & National Conference on **“Digital India: Transforming the Libraries and Society Into Knowledge Society”** on December 01, 2017 at Devi Ahilya Vishwavidyalaya, Indore.
3. Participated in International Conference on **“Digital Governance: Innovation, Information and Libraries”** on April 14-16, 2016 at Indian Institute of Management Indore.
4. Participated in National Conference on **“Role of Libraries in Indian Culture and Management”** on April 11-12, 2014 University College of Science, Mohanlal Sukhadia University.
5. Participated in International Conference on **“Creating Wisdom and Knowledge Through Shared Learning: Role of Librarian and Information Managers”** on October 11-13, 2012 at Indian Institute of Management Indore.
6. Participate in **“International Conference on Digital Libraries and Knowledge Organization”** on 14-16 February 2011 at Management Development Institute, Gurgaon.
7. Participate in National Conference on **“Library Services in Electronic Environment”** on 19<sup>th</sup> March 2010 at JK Business School, Gurgaon.
8. Participate in National Seminar on **“Trends and Issues for Modern Libraries in Global Information”** on 16 January 2010 at Bundelkhand University Jhansi.
9. Participate in National Convention & Conference of SIS on **“Role of the Librarian in 21<sup>st</sup> Century”** on 4-6 December at Indian Institute of Management Indore.
10. Participate in National Seminar on **“Library & Information Management in Digital Environment”** on 24 March 2008 at Indian Institute of Management, Indore

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## Workshop

1. Attend INDEST-AICTE Workshop on “**E-Resource Management**” on 4 December at Indian Institute of Management Indore.
2. Participate Workshop on “**Paper Development and Publishing in an Electronic World**” on April 14, 2016 at Indian Institute of Management Indore.

## Project / Dissertation

- Dissertation entitled “Library Automation in Madhya Pradesh Libraries: with special reference to Bhopal Libraries” submitted to Jiwaji university as a part of M Lib & Inf. Sc.
- Project entitled “Office Management System in Payroll and Library Management” submitted to Barkatullah University as a part of PGDCA.
- Automation and Problems in their Implementation: A Survey of Libraries in Indore.

## Other

- Listed in Top 100 Authors of IIMs in the report “**Glimpses of Research Productivity of Indian Universities and Research Institutions-2016**” published by Confederation of Indian Industry (CII) and India Citation Index (ICI).

**Contact information:** (Email: [jadongs@gmail.com](mailto:jadongs@gmail.com) & [gopalj@iimidr.ac.in](mailto:gopalj@iimidr.ac.in) Mobile: 9752096396)

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प्रो. हिमंशु राय/Prof. Himanshu Rai  
निदेशक/Director  
भारतीय प्रबंध संस्थान इन्दौर  
Indian Institute of Management Indore  
— प्रबन्ध-विद्यार्थी/Prabandhi Shikshar  
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म. प्र., भारत/M.P., India

b

गोपनीयता/Confidentiality  
सुरक्षित/Secure

**CURRICULUM VITAE (CV): Mr. Arunendra Vishwakarma**

1. Name of Staff : Arunendra Vishwakarma
2. Proposed Position : IT Specialist
3. Employer : Indian Institute of Management, Indore
4. Date of Birth (DD/MM/YYYY) : 15/06/1986
5. Nationality/ Country of Residence: Indian/ India
6. Education :

S#	Degree/certificate or other specialized education obtained	School, college and/or University Attended	Degree/certificate Issuing University/ Board/ Agency	Year Obtained
1	MCA (Master of Computer Applications)	Shri Vaishnav Institute of Management Indore	RGPV, Bhopal	2013
2	B.Sc. (Computer Science)	Career College, Bhopal	Barkatullah, Bhopal	2008
3	HSSC (PCM)	Zila mahila Samiti H.Sc.School, Shahdol	M. P. Board, Bhopal	2002
4	HSC	Zila mahila Samiti H.Sc.School, Shahdol	M. P. Board, Bhopal	1999

**7. Professional Certification or Membership in Professional Associations :**

**8. Other Relevant Training/ Certification :**

- C, C++, JAVA(core, Advance), J2EE, Struts2
- MS-Access, Oracle 9i
- Microsoft Windows 98/2000/XP, Unix, DOS

**9. Employment Record :** Total Experience: 9 years

Period	Employing organization & your title position	Contact Information for Reference	Country of Work Experience	Summary of activities performed relevant to this Assignment
May 2011 onwards	IIM Indore GDA	Chief Administrative Officer	India	Coordinating Academic Programmes, Projects , Consulting assignments
July 2009 to April 2011.	Madhuban Institute of Professional Studies Indore National Institute of Management Indore		India	Teacher/ Trainer

Prabandh Shikhar  
Rau-Pithampur Road, Indore- 453556  
म. प्र., भारत/ M.P., India

KJ

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June 2005 to October 2006	Aisect Computer Centre Indore		India	Teacher/ Trainer
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10. Countries of Work Experience : India

11. Languages Known :

Language	Read	Write	Speak
English	Yes	Yes	Yes
Hindi	Yes	Yes	Yes

12. Work Undertaken that Best Illustrates Capability to Handle the Tasks Assigned:

- **IT Expert (IVA for SANKALP):** Verification of claims against Disbursement Linked Indicators for the World Bank Supported SANKALP initiative of the Government of India. (2018-19)

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श्री. हिमंशु राय/Prof. Himenshu Rai  
 Director  
 भारतीय प्रबंध संस्थान इन्दौर  
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**CURRICULUM VITAE (CV): Mrs. Amrita Baid More**

**1. Name of Staff :** (Mrs.) Amrita Baid More

**2. Proposed Position :** Report Writer

**3. Employer :** Indian Institute of Management, Indore

**4. Date of Birth (DD/MM/YYYY) :** 01 January 1989

**5. Nationality/ Country of Residence:** Indian/ India

**6. Education :**

S#	Degree/certificate or other specialized education obtained	School, college and/or University Attended	Degree/certificate Issuing University/ Board/ Agency	Year Obtained
1	PhD	DAVV, Indore	DAVV Indore	2019
1	MA (English Literature)	Indira Gandhi National Open University	Open University	2015
2	B.Com (Computer Application)	DAVV, Indore	DAVV Indore	2009
3	Higher Secondary	SCMVBM	MP Board	2006
4	High School	SCMVBM	MP Board	2004

**7. Employment Record :** Total Experience: 6 years

Period	Employing organization & your title position	Contact Information for Reference	Country of Work Experience	Summary of activities performed relevant to this Assignment
10/08/2018 onwards	Academic Associate in IIM Indore	Chief Administrative Officer	India	Coordinating Academic Programmes, Projects, Consulting assignments

HR

A

26/10/2016 to 09/08/2018	Assistant Professor in Department of Communication Skills and Management Swami Vivekanand College of Engineering	Director, Swami Vivekanand College of Engineering	India	Teacher / Trainer
17/07/2014 to 13/10/2016	Assistant Professor in Department of Management Studies in SIRT (Truba College of Engineering and Technology)	Director, in SIRT (Truba College of Engineering and Technology)	India	Teacher / Trainer
July 2013- June 2014	Asst. Professor of Commerce and Management Graduate School of Business	Graduate School of Business	India	Teacher / Trainer
June 2012 - February 2013	Asst Professor Altius Institute of Universal Studies, Indore	Altius Institute of Universal Studies, Indore	India	Teacher / Trainer

#### 8. Work Undertaken that Best Illustrates Capability to Handle the Tasks Assigned:

- **Report Writer (IVA for SANKALP):** Verification of claims against Disbursement Linked Indicators for the World Bank Supported SANKALP initiative of the Government of India. (2018-19)


#### 9. Publications:

##### Books:

- English(RGPV subject code:BT1003),co-authored with Dr. Sanjay Sharma,Gate Academy Publications, Bhilai, August 2017.ISBN no. 978-93-86699-00-8

##### JOURNAL PAPERS:

- Research work, published in March 2014, by Zenith International Research & Academic Foundation (ZIRAF) (ISSN ONLINE: 2249-8834). Under the title" *The association between advertising, profit and sales volume of beverage companies in India*"
- Published research work in the month of December, 2013 in International Journal of Marketing Financial Services and Management Research (ISSN ONLINE: 2277-3622). Under the title" *Service Quality Impact On Customer Satisfaction - A Study Of Federal Bank In Indore City*"

  
 प्रो. हिमंशु राय/Prof. Himanshu Rai  
 निदेशक/Director  
 भारतीय प्रबंधन संस्थान इंदौर  
 Indian Institute of Management Indore  
 प्राध्यापक/Prabandh Shikhar  
 राउ-पीथमपुर रोड, इंदौर- 453556  
 Rau-Pithampur Road, Indore- 453556  
 म. प्र., भारत/M.P., India



- Published Research Paper in month of December, 2012 for Excel International Journal For Multidisciplinary Management Studies (ISSN ONLINE: 2249-8834) titled as “A Study Of Impact Of IPO Grading On Decision Of Retail Investor To Subscribe In An IPO”

#### CONFERENCE PAPERS:

- Paper titled “Study of Customer satisfaction form Marketing Strategy: In reference to equity broking firms of Indore city” published in National Conference on Emerging Trends and practices in Science, Humanities and Management: Professional Education Perspectives organized by NMIMS, Shirpur on 18/02/2016
- Paper titled “Study of Marketing Strategy: In reference to equity broking firms of Indore city” presented and published in ISBN at National Conference on Make in India Management’s role and perspectives organized by CDIPS, Indore on 25/02/2016
- Participated and presented paper titled “Satisfaction and motivation among Equity firms employees of Indore” in national Conference organized by Vaishnav Institute of Management, Indore on January 17,2015
- Participated and presented paper titled “Customer Relationship Management in Current Banking Scenario” in International Conference organized by Acropolis Faculty of Management and Research, Indore on December 24,2014
- Presented a Research Paper in the month of December 2012, at Acropolis Faculty of Management and Research on the occasion of Second International Conference on the topic “An analysis of Opportunities and Challenges for Green Marketing in India”.

#### WORKSHOP AND SEMINAR ATTENDED

- Attended one day seminar on captioned, “Innovation & IPR”, under the sponsorship of National Research Development Corporation (NRDC), under DSIR, Ministry of Science & Technology, Government of India on 24 March 2018, organized by SAGE University, Indore.
- Attended workshop on Statistical Analysis through SPSS at School of Statistics, DAVV on 24<sup>th</sup> and 27<sup>th</sup> February 2018.
- Attended workshop on Improving Business Practices through Modern Management Practices at Medicaps Institute of Technology and Management from April 18 -19, 2014
- Attended workshop on Advance Data Analysis and Modeling Techniques for Management Research at Medicaps Institute of Technology and Management from April 8 to April 12, 2013

#### 10. Countries of Work Experience : India

HL





11. Languages Known :

Language	Read	Write	Speak
English	Yes	Yes	Yes
Hindi	Yes	Yes	Yes



प्रो. हिमंशु राय/Prof. Himanshu Rai  
निदेशक/Director  
भारतीय प्रबंध संस्थान इन्दौर  
Indian Institute of Management Indore  
प्रबंध शिक्षक/Prabandh Shikhar  
राव-पीथमपुर रोड, इन्दौर- 453556  
Rau-Pithampur Road, Indore- 453556  
म. प्र., भारत/M.P., India



**CURRICULUM VITAE (CV): Pooja Sharma**

1. Name of Staff : Pooja Sharma
2. Proposed Position : Central Field Coordinator
3. Employer : Indian Institute of Management, Indore
4. Date of Birth (DD/MM/YYYY) : 10/02/1984
5. Nationality/ Country of Residence : Indian/ India
6. Education :

S#	Degree/certificate or other specialized education obtained	School, college and/or University Attended	Degree/certificate Issuing University/ Board/ Agency	Year Obtained
1	Master of Arts (Sociology)	DAVV University, Indore	DAVV University, Indore	2013
2	Bachelor of Commerce	Jiwaji University, Indore	Jiwaji University, Indore	2008
3	Higher Secondary Exam (10+2)	M. P. Board	M. P. Board	2002
4	High School	M. P. Board	M. P. Board	1999

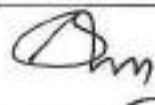
**7. Professional Certification or Membership in Professional Associations :**

**8. Other Relevant Training/ Certification :** Training in SPSS, Social research methodology.

**9. Employment Record : More than 9 years**

Period	Employing organization & your title position	Contact Information for Reference	Country of Work Experience	Summary of activities performed relevant to this Assignment
9/03/2009 onwards	IIM Indore GDA	Chief Administrative Officer	India	Coordinating Academic Programmes, Projects , Consulting assignments
1/11/2008 to 28/02/2009	NIM, Indore Counsellor		India	Counselling of students

DL



10. Countries of Work Experience : India

11. Languages Known :

Language	Read	Write	Speak
English	Yes	Yes	Yes
Hindi	Yes	Yes	Yes

12. Work Undertaken that Best Illustrates Capability to Handle the Tasks Assigned :

S.No	Name of assignment or project	Year	Client
1	IVA for SANKALP Verification of claims against Disbursement Linked Indicators for the World Bank Supported SANKALP initiative of the Government of India.	2018- 2019	MHRD, Government of India
2	Management capacity enhancement Program: TEQUIP-III	2017	NPIU, TEQUIP, MHRD
3	Impact assessment of MCEP : TEQUIP	2015	MHRD, TEQUIP ,NPIU
4	Management capacity enhancement Program: TEQUIP-II	2013	NPIU, TEQUIP, MHRD
5	Sociology course projects	2016	IIM Indore
6	Women Empowerment Project	2013	DAVV
7	Management capacity enhancement Program: TEQUIP-II	2013	NPIU, TEQUIP, MHRD

प्रो. हिमंशु राय/Prof. Himanshu Rai  
निदेशक/Director  
भारतीय प्रबंध शिक्षण संस्थान  
Indian Institute of Management Indore  
प्रबंध शिक्षण/Prabandhi Shikhar  
राउ-पीठम्पुर रोड, इन्दौर- 453558  
Rau-Pithampur Road, Indore- 453558  
म.प्र., भारत/M.P., India



**FORM FIN-2**  
**SUMMARY OF COSTS**

Item	Cost
<b>Cost of the Financial Proposal</b>	INR 2,83,20,000/-
Including:	
(1) Remuneration	Of Key and Non key experts included
(2) Reimbursables	Report preparation cost, Communications cost, Domestic Travel of key and non-key experts. included
<b>Total Cost of the Financial Proposal:</b> (Should match the amount in Form FIN-1)	INR 2,83,20,000/- including GST mentioned below
<b>Indirect Local Tax Estimates – to be discussed and finalized at the negotiations if the Contract is awarded</b>	
(i) {insert type of tax e.g., VAT or sales tax} GST	INR 43,20,000/-
(ii) {e.g., income tax on non-resident experts}	NIL
(iii) {insert type of tax}	-
<b>Total Estimate for Indirect Local Tax:</b>	43      20      000

M

श्री. हिमंशु राय/Prof. Himanshu Rai

Principals/Director

रायजी प्रबंधन संस्थान

Indian Institute of Management Indore

श्री. शिव/Prabandh Shikhar

राय-पिथम्पुर रोड, इंदौर- 453556

Rai-Pithampur Road, Indore- 453556

श्री. प्र. राय/M.P., India

### FORM FIN-3 BREAKDOWN OF REMUNERATION

When used for Lump-Sum contract assignment, information to be provided in this Form shall only be used to demonstrate the basis for the calculation of the Contract's ceiling amount, to calculate applicable taxes at contract negotiations; and, if needed, to establish payments to the Consultant for possible additional services requested by the Client. This Form shall not be used as a basis for payments under Lump-Sum contracts

No.	Name	Position (as per Technical proposal)	Person-month Remuneration Rate*	Time Input in Person/Month	Cost (INR) Lakhs
<b>Key Experts</b>					
1	Prof. Himanshu Rai	Team Leader	18.667 lakhs (Home)	2.0	37.334
2	Prof. D.L.Sunder	Curriculum Expert	18.667 lakhs (Home) 18.667 lakhs (field)	1.0 1.0	18.667 18.667
3	Prof. Prashant Salwan	M&E Expert	18.667 lakhs (Home) 18.667 lakhs (field)	0.75 0.75	14.000 14.000
4	Prof. Sushanta K Mishra	Development Expert	18.667 lakhs (Home)	0.5	9.333
5	Prof. Pritam Ranjan	Statistician	18.667 lakhs (Home)	0.75	14.000
6	Mr. Arunendra V	IT Specialist	2 lakhs	3	6
7	Mr. Gopal Singh J	Apprentice Expert	2 lakhs	3	6
8	Ms. Amrita Baid	Report Writer	1.5 lakhs	3	4.5
9	Ms. Pooja Sharma	Central Field coordinator	1.5 lakh (home) 1.5 lakh (field)	2 1	3 1.5





Principal Director  
 Indian Institute of Management Indore  
 201 Prabhav Prabandh Shikhar  
 201-Prabhav Rd, Indore- 453556  
 Raipur-Pithampur Road, Indore- 453556  
 I. I. M., Indore, India

Non-Key Experts				
NK-1.1		0.3 Lakh (home)	3	0.9
NK-1.2		0.3 lakh (field)	6	1.8
NK-1.3		0.3 lakh(home)	3	0.9
NK-1.4		0.3 lakh (field)	6	1.8
NK-1.5		0.3 lakh (home)	3	0.9
NK-1.6		0.3 lakh (field)	6	1.8
	Field Surveyors			
		0.3 lakh (home)	3	0.9
		0.3 lakh(field)	6	1.8
		0.3 lakh (home)	3	0.9
		0.3 lakh (field)	6	1.8
		0.3 lakh (home)	3	0.9
		0.3 lakh (field)	6	1.8
		0.3 lakh (home)	3	0.9
		0.3 lakh (field)	6	1.8
		0.3 lakh (home)	3	0.9
		0.3 lakh (field)	6	1.8
	Other support staff/ contingencies			
	Research Assistant	0.5 lakh (home)	10	5
	Data Entry Operator	0.3 lakh (home)	12	3.6
			Total	171.80

\* The remuneration rates are as per the norms of the institute that are charged to the client for deployment of personnel.  
 † The estimated time involvement of the key and non-key experts is given above. The institute has estimated the costs /rates of the project considering the total time and other expenses including overheads in line with the existing norms of the institute. The times indicated are to demonstrate the time commitment expected by the institute.



श्री. हिमंशु राय/Prof. Himanshu Rai  
 निदेशक/Director  
 भारतीय प्रबंधन संस्थान इंदौर  
 Indian Institute of Management Indore  
 ग्रेजुअर प्रबंधन शिखर  
 राउ-पिथम्पुर रोड, इंदौर- 453555  
 Rau-Pithampur Road, Indore- 453555  
 ए. इ., भारत/India



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## Appendix A. Financial Negotiations - Breakdown of Remuneration Rates

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### 1. Review of Remuneration Rates

- 1.1. The remuneration rates are made up of salary or a base fee, social costs, overheads, profit, and any premium or allowance that may be paid for assignments away from headquarters or a home office. An attached Sample Form can be used to provide a breakdown of rates.
- 1.2. If the RFP requests submission of a technical proposal only, the Sample Form is used by the selected Consultant to prepare for the negotiations of the Contract. If the RFP requests submission of the financial proposal, the Sample Form shall be completed and attached to the Financial Form-3. Agreed (at the negotiations) breakdown sheets shall form part of the negotiated Contract and included in its Appendix D or C.
- 1.3. At the negotiations the firm shall be prepared to disclose its audited financial statements for the last three years, to substantiate its rates, and accept that its proposed rates and other financial matters are subject to scrutiny. The Client is charged with the custody of government funds and is expected to exercise prudence in the expenditure of these funds.
- 1.4. Rate details are discussed below:
  - (i) Salary is the gross regular cash salary or fee paid to the individual in the firm's home office. It shall not contain any premium for work away from headquarters or bonus (except where these are included by law or government regulations).
  - (ii) Bonuses are normally paid out of profits. To avoid double counting, any bonuses shall not normally be included in the "Salary" and should be shown separately. Where the Consultant's accounting system is such that the percentages of social costs and overheads are based on total revenue, including bonuses, those percentages shall be adjusted downward accordingly. Where national policy requires that 13 months' pay be given for 12 months' work, the profit element need not be adjusted downward. Any discussions on bonuses shall be supported by audited documentation, which shall be treated as confidential.
  - (iii) Social Charges are the costs of non-monetary benefits and may include, inter alia, social security (including pension, medical, and life insurance costs) and the cost of a paid sick and/or annual leave. In this regard, a paid leave during public holidays or an annual leave taken during an assignment if no Expert's replacement has been provided is not considered social charges.
  - (iv) Cost of Leave. The principles of calculating the cost of total days leave per annum as a percentage of basic salary is normally calculated as follows:

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$$\text{Leave cost as percentage of salary} = \frac{\text{total days leave} \times 100}{[365 - w - \text{ph} - v - s]}$$

Where w = weekends, ph = public holidays, v = vacation, and s = sick leave.

Please note that leave can be considered as a social cost only if the Client is not charged for the leave taken.

- (v) Overheads are the Consultant's business costs that are not directly related to the execution of the assignment and shall not be reimbursed as separate items under the Contract. Typical items are home office costs (non-billable time, time of senior Consultant's staff monitoring the project, rent of headquarters' office, support staff, research, staff training, marketing, etc.), the cost of Consultant's personnel not currently employed on revenue-earning projects, taxes on business activities, and business promotion costs. During negotiations, audited financial statements, certified as correct by an independent auditor and supporting the last three years' overheads, shall be available for discussion, together with detailed lists of items making up the overheads and the percentage by which each relates to basic salary. The Client does not accept an add-on margin for social charges, overhead expenses, etc. for Experts who are not permanent employees of the Consultant. In such case, the Consultant shall be entitled only to administrative costs and a fee on the monthly payments charged for sub-contracted Experts.
- (vi) Profit is normally based on the sum of the Salary, Social costs, and Overheads. If any bonuses paid on a regular basis are listed, a corresponding reduction shall be made in the profit amount. Profit shall not be allowed on travel or any other reimbursable expenses.
- (vii) Away from Home Office Allowance or Premium or Subsistence Allowances. Some Consultants pay allowances to Experts working away from headquarters or outside of the home office. Such allowances are calculated as a percentage of salary (or a fee) and shall not draw overheads or profit. Sometimes, by law, such allowances may draw social costs. In this case, the amount of this social cost shall still be shown under social costs, with the net allowance shown separately.

UNDP standard rates for the particular country may be used as reference to determine subsistence allowances.

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## Sample Form

Consultant: Indian institute of Management Indore  
Assignment: IVA for STRIVE

Country: Indore  
Date:

### Consultant's Representations Regarding Costs and Charges

We hereby confirm that:

- (a) the basic fees indicated in the attached table are from the institute's norms for consultancy assignments as applicable to the experts;
- (c) there are no away- from- home office allowances indicated as they are all included in the fee chargeable to the client based on the institute's norms.
- (d) no separate charges for social charges and overhead shown as they are all included in the fees based on institute's norms and are based (estimated) on the institute's average cost experiences for the latest three years and
- (e) the said factors for overhead and social charges are not mentioned separately as they are as per the institute norms.

Indian Institute of Management Indore

[Name of Consultant]



\_\_\_\_\_  
Signature of Authorized Representative

\_\_\_\_\_  
Date

Name: Prof. Himanshu Rai  
Title: Director



Dr. हिमंशु राय/Prof. Himanshu Rai  
निदेशक/Director  
भारतीय प्रबंध संस्थान इन्दौर  
Indian Institute of Management Indore  
प्रबंध शिखर/Prabandh Shikhar  
राज-पीठमपुर रोड, इन्दौर- 453556  
Rau-Pithampur Road, Indore-453556  
ग. प्र., भारत/M.P., India





**Consultant's Representations Regarding Costs and Charges  
(Model Form I)**

*Not applicable as the institute norms are the basis for the estimates. Please see Form FIN - 3 for details.*

(Expressed in {insert name of currency\*})

Personnel		1	2	3	4	5	6	7	8
Name	Position	Basic Remuneration Rate per Working Month/Day/Year	Social Charges <sup>1</sup>	Overhead <sup>1</sup>	Subtotal	Profit <sup>2</sup>	Away from Home Office Allowance	Proposed Fixed Rate per Working Month/Day/Year	Proposed Fixed Rate per Working Month/Day/Year <sup>1</sup>
Home Office									
Client's Country									

{\* If more than one currency is used, use additional table(s), one for each currency}

1. Expressed as percentage of 1
2. Expressed as percentage of 4


  
**श्री. हिरीशंकर राव/Prof. Himanshu Rai**  
 निदेशक/Director  
 भारतीय प्रबंधन संस्थान इंदौर  
 Indian Institute of Management Indore  
 ३२१ गिरी/Prabandh Shikhar  
 राव-पिथम्पुर रोड, इंदौर- ४५३५५६  
 Rau-Pithampur Road, Indore- 453556  
 भारत, मध्य प्रदेश, इंदौर

## FORM FIN-4 BREAKDOWN OF REIMBURSABLE EXPENSES

When used for Lump-Sum contract assignment, information to be provided in this Form shall only be used to demonstrate the basis for calculation of the Contract ceiling amount, to calculate applicable taxes at contract negotiations and, if needed, to establish payments to the Consultant for possible additional services requested by the Client. This form shall not be used as a basis for payments under Lump-Sum contracts.

Reimbursable Expenses (INR)					
Type of Reimbursable Expenses *	Unit	Unit Cost (INR) Lakhs	Quantity	Cost (INR) Lakhs	
Per diem allowances key experts including communication costs. **	Day	0.15	60	9	
Domestic flights including in/out of airports.	Ticket	0.135	40	5.4	
Per diem allowances Non key experts including communication costs**	Day	0.03	740	22.2	
Domestic Travel by road /train /flight including in/out of airport /railway station.	ticket	0.08	320	25.6	
Report preparation, Printing, Stationary, books and others				6	
Total Costs				68.20	

\* As this is lump-sum contract assignment, no separate reimbursement of expenses would be claimed under the heads given above. The above estimates assume that no international travel is involved and that the travel of key experts and non-key experts would be for discussions with stake-holders and verification of data in New Delhi and some of the other cities in India. Further travel for primary data collection would be only for a sample decided by the sampling methodology.

\*\* Outstation allowances for boarding & lodging and miscellaneous expenses.

MA

श्री. अशोक कुमार/Prof. Himanshu Rai  
प्रिन्सिपल/Principal

भारतीय प्रबंधन संस्थान  
Indian Institute of Management Indore  
प्रभु प्रबन्ध शिखर  
एन-एच ३०३, इंदौर-४६३००६  
Ravi-Ditham...

Form of Advance Payments Guarantee  
[See Clause GCC 41.2.1 and SCC 41.2.1]

Appendix D

Guarantor: <Name of the bank and address>

Beneficiary: Director General of Training, Ministry of Skill Development and Entrepreneurship

Date:

ADVANCE PAYMENT GUARANTEE No.: \_\_\_\_\_

We have been informed that Indian Institute of Management Indore (hereinafter called "the Consultant") has entered into Contract No. <number> dated <date> with the Beneficiary, for the provision of Conducting third party 'Independent Verification' of Disbursement Linked Indicators (DLIs) and project achievements under Skills Strengthening for Industrial Value Enhancement (STRIVE) (hereinafter called "the Contract").

Furthermore, we understand that, according to the conditions of the Contract, an advance payment in the sum of Rs. 28,32,000 (Rupees twenty eight lakhs Thirty Two Thousand only) is to be made against an advance payment guarantee.

At the request of the Consultant, we, as Guarantor, hereby irrevocably undertake to pay the Beneficiary any sum or sums not exceeding in total an amount of Rs. 28,32,000/- (Rupees twenty eight lakhs Thirty Two Thousand only) upon receipt by us of the Beneficiary's complying demand supported by the Beneficiary's a written statement, whether in the demand itself or in a separate signed document accompanying or identifying the demand, stating that the Consultant is in breach of their obligation under the Contract because the Consultant:

- has failed to repay the advance payment in accordance with the Contract conditions, specifying the amount which the Consultant has failed to repay;
- has used the advance payment for purposes other than toward providing the Services under the Contract.

It is a condition for any claim and payment under this guarantee to be made that the advance payment referred to above must have been received by the Consultant on their account number 32104076544 at State Bank of India, IIM Indore Campus, Rau, Indore.

The maximum amount of this guarantee shall be progressively reduced by the amount of the advance payment repaid by the Consultant as indicated in certified statements or invoices marked as "paid" by the Client which shall be presented to us. This guarantee shall expire, at the latest, upon our receipt of the payment certificate or paid invoice indicating that the Consultant has made full repayment of the amount of the advance payment, or on the <date> whichever is earlier. Consequently, any demand for payment under this guarantee must be received by us at this office on or before that date.

This guarantee is subject to the Uniform Rules for Demand Guarantees (URDG) 2010 revision, ICC Publication No. 758.



[signature(s)]

प्र. हिमांशु राय/Prof. Himanshu Rai  
निदेशक/Director  
भारतीय प्रबंध संशोधन संस्थान  
Indian Institute of Management Indore  
प्रबंध शिखर/Prabandh Shikhar  
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