

CONSORTIUM

1. Explanatory Note

A. Consortium - Definition:

A consortium is an association of entities with an objective of getting recognised as an AB/AA to specifically perform skill development activities by pooling their resources and expertise.

Entities in this case should hold the 'Legal Status' individually as defined in Para 1 of Section 3.9 of the 'Guidelines for Recognition & Regulation of Awarding Bodies'.

B. Formation:

Consortium should be setup specifically for the purpose of becoming an AB/AA with no other mandate. Members of the Consortium shall enter into a binding Agreement (the "Consortium Agreement") for the purpose of making and submitting the application for recognition. The Consortium Agreement shall, inter alia:

- i. Convey the intent to form an SPV with Shareholding/Equity commitment(s) in accordance with these guidelines, which would enter into the Agreement and subsequently carry out all the responsibilities as per the terms of the Agreement, in case the recognition is awarded to the Consortium.
- ii. Clearly outline the proposed roles and responsibilities of each member particularly with reference to financial, technical and Operations & Maintenance obligations.
- iii. Commit that the Consortium members shall collectively hold 100% (one hundred per cent) of the Equity of the SPV for the tenure of recognition.
- iv. Commit the minimum Equity stake (10%) to be held by each member.
- v. Commit that each of the members, whose experience will be evaluated for the purpose of determining eligibility, shall subscribe to 26% (twenty six per cent) or more of the Equity of the SPV and shall further commit that each such member shall during the Term, hold Equity share capital not less than 26% (twenty six per cent) of the equity share capital of the SPV.

- vi. Include a statement to the effect that all members of the Consortium shall, for the entire term of the recognition, be liable jointly and severally for all obligations in relation to the activities performed by SPV.
- vii. There shall not be any amendment to the Consortium Agreement without the prior written consent of the NCVET.

C. Application Process:

- i. A Consortium with a clearly identified lead partner can apply in the format listed at section 2 of this document. A well defined Consortium Agreement as explained in Para 1B shall also be submitted along with the application.
- ii. Eligibility Criteria to be fulfilled as per Guidelines for Recognition & Regulation of Awarding Bodies/Assessment Agencies are as below:
 - a. Legal: The details need to be submitted by all the members in case of Consortium along with the Consortium Agreement.
 - b. All other Criteria including 'Prior Experience' and 'Financial Requirements': For all other criteria combined strength of those partners is admissible, who intend to have an at least 26% (twenty six percent) share of the total equity individually in the SPV.
- iii. Members of the Consortium shall nominate one member as the '**Lead Member**' for the purpose of representing Consortium with respect to all activities of the application & recognition process. The nomination shall be supported by a Power of Attorney, signed by all the other members of the Consortium.
- iv. Key Role & Responsibilities of the Lead Member are as follows:
 - a. Should commit to subscribe & hold at least 26% (twenty six per cent) of the equity of the SPV
 - b. Should have been in business as defined in the AB Recognition Guidelines i.e. for the period of at least 5 years in case of an AB and 3 years in case of an AA with no gap/s exceeding 6 months between operations of the entity. (exemptions as in guidelines)

- c. Nodal contact for all communications with NCVET with respect to recognition process.
- d. Representative of consortium with respect to recognition process at NCVET empowered via Power of Attorney

- v. Application of consortium for recognition as an Awarding Body/Assessment Agency will be processed as per the detailed processes and timelines as mentioned in “Guidelines for Recognition & Regulation of Awarding Bodies” & “Guidelines for Recognition & Regulation of Assessment Agencies”. An Applicant entity once recognised will be awarded a letter of Intent (LoI). Such recognized body must form a SPV (Special Purpose Vehicle) as mentioned in Para 1D of this document within three months from the date of issue of LoI and submit the relevant documents including Certificate of Incorporation, Memorandum of Association and Articles of Association. In case of an AB, the body must also submit the qualification/s for approval within this time frame i.e. three months from the date of issue of LoI.

D. Special Purpose Vehicle:

Consortium partners shall form an appropriate Special Purpose Vehicle under the Indian Companies Act 1956/Companies Act, 2013 (the "SPV"), to get recognised as an AB/AA. However they shall directly hold 100% of the equity of the SPV throughout the tenure of recognition.

E. Composition:

- i. Number of members in a Consortium initially and then SPV should be limited to 5 (five), whereby each Member individually holds at least [10% (ten per cent)] of the paid up and subscribed equity of the SPV.
- ii. Any change in the composition of Consortium /SPV to be pre-approved by NCVET.
- iii. A member of a particular Consortium and SPV formed thereafter cannot be member of any other Consortium applying for recognition or SPV recognized by NCVET. Also such member/s cannot apply independently for recognition as an AB/AA.
- iv. Applicant entity can be a private entity, government-owned entity or any combination of them under an existing agreement in the form of a Consortium.

F. Tenure:

As per the NCVET guidelines, the initial recognition will be granted for a period of three years with a provision of fast track renewal for another two years.

As explained earlier, tenure of consortium will commence from the date of signing of Agreement with AB/AA as mentioned in the guidelines.

G. Conflict of Interest:

Entities applying as consortium shall not have any conflict of interest (the "Conflict of Interest") that affects their recognition as an AB/AA. Entities found to have a Conflict of Interest shall be disqualified. Entities shall be deemed to have a Conflict of Interest if:

- i. A Consortium/SPV, its Member/s have common controlling shareholders or other ownership interest in the other recognized AB/AA or any entity applying for NCVET recognition, its Member or Associate; or
- ii. A constituent of such Consortium/SPV is also a constituent of another Consortium/SPV; or
- iii. Such Consortium/SPV, or any Member/s thereof receives or has received any direct or indirect subsidy, grant, concessional loan or subordinated debt from any other AB/AA/Consortium, or any Member/s thereof or has provided any such subsidy, grant, concessional loan or subordinated debt to any other AB/AA/Consortium or its any Member thereof;

H. Certification: Certificates will be issued on the name and logo of SPV and as per the Certificate templates & guidelines issued by NCVET from time to time.

I. Earning & Sharing of Experience by the Consortium Partners:

Experience earned by a Consortium while functioning as an AB/AA will be shared in the equity shareholding pattern of SPV as on the date when experience is being counted. Such experience certificates shall be ratified by NCVET. Equity/Shareholding pattern is to be

mentioned both in the Consortium Agreement initially during application and later reflected in the SPV documents. Any change in the same shall be pre approved by NCVET.

J. Blacklisting/Barring:

- i. Any entity which has been barred by the Central/ State Government, or any entity controlled by it, from participating in any project/scheme/program, and the bar subsists as on the date of submission of the application, would not be eligible, either individually or as member of a Consortium.
- ii. Any Consortium Member or Associate should, in the last 3 (three) years, have neither failed to perform on any contract, as evidenced by imposition of a penalty by an arbitral or judicial authority or a judicial pronouncement or arbitration award against the Consortium Member or Associate, as the case may be, nor has been expelled from any project or contract by any public entity nor have had any contract terminated by any public entity for breach by such Consortium Member or Associate
- iii. No entity shall submit more than one application for recognition as an AB/AA/Member of consortium. An entity applying individually or as a member of a Consortium shall not be entitled to submit another application either individually or as a member of any Consortium, as the case may be.
- iv. The self-certification / undertaking with respect to point I (ii & iii) above needs to be provided by all the members of a Consortium.

Apart from the provisions mentioned above all the other provisions of Guidelines for Recognition & Regulation of AB/AA like timelines, processes, formats etc. shall be applicable to the entities applying as consortium.

2. Application Forms

A. CONSORTIUM FORM FOR APPLYING AS AN AWARDING BODY

1. a. COVER LETTER BY LEAD PARTNER

(Date)

Dear Sir/Madam

Sub: Application for NCVET Recognition

I, the undersigned, hereby acknowledge that I have read and understood the requirements and conditions contained in the Awarding Body-Eligibility and Continuation Criteria and the Operational Manual. I represent(*Name of the applicant body*) and have the legal authority to ensure commitment of my consortium to uphold the requirements and conditions of NCVET recognition.

I am aware that if the information contained in this application and self-evaluation is false/mis-represented, then NCVET retains the right to forfeit the application fee and my consortium will no longer be eligible for recognition.

I, the undersigned, will also ensure that the consortium acts in accordance with the Guidelines and procedures detailed in the NCVET Awarding Body Operations Manual and understand that failure to do so will result in non-compliance leading to consequences as detailed down in the Guidelines.

I understand that the NCVET absolves itself of any legal or financial liability arising out of any act involving any accidental or consequential damages to personnel/equipment at any time.

I am aware that the terms and conditions of NCVET recognition may be amended from time to time and that the updating of the same on the website and in writing shall constitute due notice. I understand that it is the responsibility of applicant organization (*name of consortium*) to review these terms and conditions in order to maintain compliance.

Signed

(Name and Position)

On behalf of (Name of consortium)

1. b. Basic Details of the Consortium

S. No	Fields	Details
i.	Name of the consortium*	
ii.	Total Members in the consortium	
iii.	Name of the Lead partner	
iv.	Name of the other members	
v.	Sector Applied for	
vi.	State applied for	
vii.	Nodal Officer (from Lead Partner) with contact details	
viii.	Office address and phone number	

*tentative name for SPV

1. c. Basic Details to be filled by each member separately

S. No	Fields	Details
i.	Organization Name	
ii.	Parent Company Name (if different)	
iii.	Nature of legal entity (i.e. company, charitable trust, society etc.)	
iv.	Permanent Income Tax Account Number (PAN)	
v.	GST Registration Number	
vi.	Date of Establishment	
vii.	Complete Address	
viii.	Organization's Email ID	
ix.	Website URL	
x.	Phone	
xi.	Name, designation, and contact details of primary point of contact	

2. Legal Status- For each member separately

S. No	Name of document	Submitted (Yes/No)	Page No. of Proposal Document
i.	Certificate of Registration and/or		
	Article of Incorporation		
	Society Deed Agreement or NGO Registration Certificate issued by respective State		
ii.	Permanent Account Number (PAN) and Goods and Services Tax (GST) registration details		
iii.	For international agencies -		
	Mutual Agreement copy with Indian partner firm		
	Shareholder Agreement with Indian partner firm		
	Permission from Ministry of Home Affairs and evidence of separate bank account for foreign funds (FCRA)		
iv.	Self-Declaration by authorized person that the organization		
	i. Has not been blacklisted by any agencies indicated in the AB guidelines		
	ii. Organisation is not-for profit entity		
	iii. Entities applying under consortium shall not have any conflict of interest as mentioned in explanatory note of annexure XIII		

3. Financial-

3. a. Consortium

S. No	Name of document	Submitted (Yes/No)	Page Number of Proposal Document
Signed Copy of Consortium Agreement containing the following:			
i.	Total Equity Investment		
ii.	Equity sharing pattern amongst members		
iii.	Other source of funding including debt		

3. b. For each member separately

S. No	Name of document	Submitted (Yes/No)	Page No. of Proposal Document
i.	Audited account statements signed by an independent financial auditor for the last three years		
ii.	Cash flow statement		
iii.	Annual report of the organization		

4. Prior Experience

S. No	Name of document	Submitted (Yes/No)	Page No. of Proposal Document
i.	Details of learners either trained or assessed or both in the formats listed below at 4.a, 4.b and 4,c		
ii.	Relevant experience certificates and/or record of experience in the skill development industry against the details provided in the above point		
iii.	An undertaking from the lead partner stating that the entity has been in business for the period of past 5 years with no gap/s of 6 months		

4. a. Consortium- State/UT wise Information in below format:

S. No	Period-Year Wise	Total no. either trained or assessed or both	Total No. of trained candidates	State/ UT where activity was undertaken

4. b. For each member with Equity share holding of at least 26 percent

S. No	Period-Year Wise	Total no. either trained or assessed or both	Total No. of trained candidates	State/ UT where activity was undertaken

*Relevant experience certificates and/or record of experience in the skill development industry

4. c. Lead Partner-For the past five years

S. No	Period- Quarterly	Total no. either trained or assessed or both	Total No. of trained candidates	State/ UT where activity was undertaken

5. Sectoral credibility and Industry Linkage (For member/s with Equity share holding of at least 26 percent individually)

S. No	Name of document	Submitted (Yes/No)	Page No. of Proposal Document
i.	Written document wherein industries engagement of has been ensured in key decisions of the organization either through membership/ MoUs/ meetings/ Workshops etc for the past 5 years		
ii.	List of industry members engaged as Subject Matter Experts		
iii.	Functional industry affiliations in the format listed below at 5.a.		

5. a. Industry Affiliations

S. No	Name of Industry partner	Name & Contact details of the SPOC	Sector	Type of association	Period of association (start date-end date)	Complete address	MoU/ any other evidence submitted (Yes/No)

6. Comprehensive Business Plan of Consortium: Following details/ documents to be submitted by the organization

S.No	Name of document	Submitted (Yes/No)	Page No. of Proposal Document
i.	Targeted geographies with details of distinct officials		

	and the relevant qualifications to be delivered		
ii.	Trainers and assessors inducted/to be inducted		
iii.	Proposed number of learners to be certified and placed		
iv.	Prospective employers for placing certified trainees		
v.	Financials allocated for each of the activities		
vi.	Budget projections for implementation of business plan		

7. Proposed Infrastructure, Governance and Other Arrangements

7. a. Infrastructure

S.No	Name of document	Submitted (Yes/No)	Page No. of Proposal Document
i.	Google Snapshot clearly showing Location of office premises		
ii.	Lease Deed/Title mentioning area of the premises		
iii.	Self Declaration mentioning details of IT infrastructure and data systems		

7. b. Governance

S.No	Name of document	Submitted (Yes/No)	Page No. of Proposal Document
i.	Document clearly mentioning the following: <ul style="list-style-type: none"> a. Manpower strength b. Details of departments/ divisions c. Key management positions with roles and responsibilities 		
ii.	Organogram		

7. c. Qualifications

S.No	Name of document	Submitted (Yes/No)	Page No. of Proposal Document
i	Process of qualification creation and review process		
ii	Written plan with identified partners for conducting qualification wise/sector wise relevant demand and supply study supporting qualification creation		
iii	Standard operating procedures for the Qualification creation, delivery, and withdrawal.		
iv	List of qualifications, if any		

7. d. Other Arrangements

S.No	Name of document	Submitted (Yes/No)	Page No. of Proposal Document
i	Grievance Redressal Mechanism		
ii	Third party affiliation and monitoring protocols		

8. Authorization Statement of the Organization

8. Authorization Statement:

I, the undersigned, confirm the following:

- That the information contained in this application and all supporting evidence is correct and accurate, the property of the applicant entity and that it reflects the organization’s business practice to the best of my knowledge.
- That this applicant entity & its members have not been blacklisted by any ministry, department, agency or undertaking of the central or any state government, nor has it at any time been indicted for corrupt and/or fraudulent practice.
- That I have never been involved in a business/institution which has been blacklisted by any ministry, department, agency or undertaking of the central or any state government, nor have i ever been indicted for corrupt and/or fraudulent practice or of an offence against the law.
- That neither the applicant entity nor I have linkages with other organizations or individuals which might constitute a conflict of interest.

Signature of Nodal Officer:

Date

Office use only :

Application checked by	
Registration No	
All required information provided	
Follow up action	
Date	

B. CONSORTIUM FORM FOR APPLYING AS AN ASSESSMENT AGENCY**1. a. Basic Details of the Consortium**

S. No	Fields	Details
i.	Name of the consortium*	
ii.	Total Members in the consortium	
iii.	Name of the Lead partner	
iv.	Name of the other members	
v.	Sector Applied for	
vi.	State applied for	
vii.	Nodal Officer with contact details	
viii.	Office address and phone number	

*tentative name for SPV

1. b. Basic Details to be filled by each member separately

Sr. No.	Fields	Details
i.	Organization Name	
ii.	Parent Company Name (if different)	
iii.	Nature of legal entity (i.e. company, charitable trust, society etc.)	
iv.	Permanent Income Tax Account Number (PAN)	
v.	GST Registration Number	
vi.	Date of Establishment	
vii.	Complete Address	
viii.	Organization's Email ID	
ix.	Website URL	
x.	Phone	
xi.	Name, designation, and contact details of primary point of contact	

2. Legal Status and infrastructure requirements

S. No.	Name of Document	Submitted (Yes/No)	Page No. of Proposal Document
i.	Certificate of Registration and/or Article of Incorporation (For each member separately)		
ii.	Society/ Trust Deed Agreement of NGO		

	Registration Certificate issued by respective state(For each member separately)		
iii.	Permanent Account Number (PAN) and Goods and Services Tax (GST)registration details & any other statutory requirement under GoI/State Government (For each member separately)		
iv.	For international agencies - <ul style="list-style-type: none"> ▪ Mutual Agreement Copy with Indian partner firm ▪ Shareholder Agreement with Indian partner firm <p>Permission from Ministry of Home Affairs, submission of FCRA clearance certificate and evidence of separate bank account for foreign funds (For each member separately-Applicable only for foreign entities with registered Indian subsidiaries/partners)</p>		
v.	Title deed and building plan (if office premises are owned)		
vi.	Lease Agreement for 3 years (if office premises are rented)		
vii.	Google Map snapshot showing location of organization's premise and allied transport connectivity		
viii.	Address proof for the premises -Copy of internet/telephone bill, not older than 3 months		
ix.	Affidavit by Authorized Person that the organization has not been blacklisted/defaulted by any agencies indicated in the Assessment Agency guidelines		
x.	Copy of the consortium agreement with a clear mention of the lead partner. (if the applicant organization is a consortium)		
xi.	Power of Attorney for Lead Member of Consortium (if the applicant organization is a consortium)		
xii.	Minutes of the consultations held with industries and associations to design the assessment strategy for their greater participation in assessment process		

xiii.	Self-declaration by the head of the organization on the availability of assessments tools including ICT tools for assessment and monitoring		
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3. Financial-

3. a. Consortium

S. No	Name of document	Submitted (Yes/No)	Page Number of Proposal Document
Signed Copy of Consortium Agreement containing the following:			
i.	Total Equity Investment		
ii.	Equity sharing pattern amongst members		
iii.	Other source of funding including debt		

3. b. For each member separately

S. No	Name of document	Submitted (Yes/No)	Page No. of Proposal Document
i.	Annual Report and Audited financial statements of the entity, duly certified by the Chartered Accountant and filed with the Income Tax Authorities for preceding 3 financial years from the date of application along with audit report		
ii.	Income tax returns for preceding 3 financial years of the entity preceding 3 financial years from the date of application		
iii.	Minimum account balance certificate from the public/private sector bank		

4. Prior Experience (For each Member separately-if applicable)

Project name:		Country:
Name of Client: (if Any)		Project Location within country:
Start date (mon/yyyy):	Completion date (mon/yyyy):	Number of learners assessed
Name of any Associated Firms(s), if any:		No. of person-months of professional staff provided by Associated Firm(s):
Name of Senior Staff (Project Director/Coordinator, Team Leader) involved:		

		the SPOC			end date)		submitted (Yes/No)

7. Comprehensive Business Plan of consortium: Following details/ document to be submitted by the organization

S. No	Name of document	Nature of document	Submitted (Yes/No)
i.	Market research for trainings conducted state-wise		
ii.	Number of assessments that can be undertaken and revenue projections for the next 3 years		
iii.	Proposed number of assessors, subject matter experts and proctors to be employed		
iv.	Proposed monitoring and evaluation framework and risk mitigation strategies		

8. Accessible Assessment Tools & SOP

8. a. Tools

S. No	Name of courses offered	Name of the assessment tools	Availability in local language (Yes/No)	Accessible for PwD (Yes/No)	Alternative for PwDs	Remarks (if any)

8. b. Standard Operating Procedures (SOP):

The organization must submit evidence of the presence of standard operating procedures for the following thematic areas:

- i. Internal Quality Assurance
- ii. Process of assessment planning and delivery
- iii. Grievance
- iv. Data management systems

9. Grievance Redressal Mechanism

a. Whether Grievance Redressal Committee is present (Yes/ No):

b. If yes, details of GRC members

S. No	Name & Designation of GRC Members	Contact Details	Date of appointment

c. Presence of Prevention of Sexual Harassment at Workplace Committee (Yes/No)

d. . If yes, details of POSH members

S. No	Name & Designation of POSH Members	Contact Details	Date of appointment

10. Continuous Professional Development of Staff

The organization must enlist the proposed and the continued measures undertaken for the CPD of the staff

S. No	Course Name	Target Audience	Course Duration	Course Fee	No. of batches trained and certified

11. Authorization Statement of the Organization

I, the undersigned, confirm the following:

- a.** That the information contained in this application and all supporting evidence is correct and accurate, the property of the organization and that it reflects the organization's business practice to the best of my knowledge.
- b.** That this organization has not been blacklisted by any ministry, department, agency or undertaking of the Central or any State Government, nor has it at any time been indicted for corrupt and/or fraudulent practice.
- c.** That I have never been involved in a business/institution which has been blacklisted by any ministry, department, agency or undertaking of the Central or any State Government, nor have I ever been indicted for corrupt and/or fraudulent practice nor of an offence against the law.
- d.** That neither the organization nor I have linkages with other organizations or individuals which might constitute a conflict of interest.

Signature of legal head

Date

C. CONSORTIUM FORM FOR APPLYING UNDER DUAL CATEGORY

In case of applying for dual category, both AB and AA application forms are to be filled