

## SF 10.2G: RECOMMENDATION FOR INITIATION OF PENALTY PROCEEDINGS

*<To be printed on CTSA letterhead>*

### RECOMMENDATION FOR INITIATION OF PENALTY PROCEEDINGS

To  
Joint Secretary (Skills)  
Ministry of Rural Development  
Penalty Proceedings No. <sup>13</sup>:

Date:  
File No:  
Recommendation for Initiation of [Address]

#### Project Details

Sanction Order No. <sup>14</sup>:  
Sanction Order Date:  
Project Commencement Date:  
State of Operation:

#### Sub: Recommendation to Initiate Penalty Proceedings against [Name of PIA]

Sir/ Madam,

1. This is to recommend initiation of penalty proceedings against [Name of PIA] for default(s) in project implementation under Section 10.2.3 of the Standard Operating Procedures of the Deen Dayal Upadhyaya Grameen Kaushalya Yojana.

2. A Yellow Alert was issued to M/s [Name of PIA] on [date of issue of Yellow Alert].

Since no corrective action was taken, a Red Alert was issued on [date of issue of Yellow Alert].

OR

2. A Red Alert was issued to M/s [Name of PIA] on [date of issue of Red Alert].

3. However, in response to the Red Alert, no corrective action was taken by the organisation/ no explanation was provided for the occurrence of the default/ the action and/or explanation provided by the organisation is not satisfactory<sup>15</sup>.

4. In view of this, we recommend that the Ministry of Rural Development initiate penalty proceedings against the [Name of PIA] for default under Section 10.2.3 of the Standard Operating Procedures.

5. A Summary of Alerts issued to [Name of PIA] and responses received from the organisation are included in Annexure I.

<sup>13</sup> Recommendation to be issued separately for each project, and numbered sequentially for every project

<sup>14</sup> Mention latest/revised copy of Sanction Order

<sup>15</sup> Strike out which is not applicable

**OR**

1. M/s [Name of PIA], has committed serious/repeated default(s) under Section 10.2.3 of the Standard Operating Procedures, as per details provided in Annexure I.
2. As a CTSA, we believe that penalty proceedings should be initiated against the PIA directly, without issuance of any Alert.
3. In view of this, we recommend that the Ministry of Rural Development initiate penalty proceedings against the [Name of PIA] for default under Section 10.2.3 of the Standard Operating Procedures.

**[Signature & Seal of Authorized Signatory]**  
**< CTSA >**

Address and Email ID

**CC to:**

1. SRLM
2. Office copy

## Annexure I: Statement of default(s)

The following defaults have occurred in implementation of the project

Sl. No.	Default*	Details of evidences, if any

\*The default should be defined with regard to relevant SOP clauses.

## Annexure II:

Supporting evidence – documents, photos, video, audio transcripts, etc.:

## Annexure III:

List of witnesses

## Appendix: Summary of Alerts<sup>16</sup>

Sl. No.	Nature of Alert (Yellow/ Red)	Date of Issue of Alert	Deviations	Date of response from PIA	Current Status of default

Enclosed issued alert (s) and response to alert from PIA, if any.

<sup>16</sup> Applicable if recommendation to initiate penalty proceedings is escalation of Alerts