

SF 10.2A: MONTHLY STATEMENT OF ALERTS

<To be printed on CTSA/ SRLM letterhead>

To
[Name of the Authorised signatory of the PIA]
[Designation of the Authorised signatory of the PIA]
[Name of PIA]
[Address]

Date:
File No:

Project Details

Sanction Order No.¹:
Sanction Order Date:
Project Commencement Date:
State(s) of Operation:

Please find herewith a statement of Alerts for the month of [Month and Year] issued to your organisation for defaults under section 10.2 of the Standard Operating Procedures of the Deen Dayal Upadhyaya Grameen Kaushalya Yojana (DDU-GKY).

1. Yellow Alert(s):

Sr. No.	Yellow Alert No.	Did PIA respond (Yes/No). If yes, give the date	Status of Alert (Closed/Escalated)

2. Red Alert(s):

Sr. No.	Red Alert No.	Did PIA respond (Yes/No). If yes, give the date	Status of Alert (Closed /Escalated)

Enclosed: Alert(s) as above

[Signature & Seal of Authorised Signatory]
< CTSA/ SRLM>

CC:

1. Chief Executive Officer & Project Head
2. CTSA/SRLM
3. Joint Secretary (Skills), MoRD
4. Office copy

¹ Mention latest/revised copy of Sanction Order

SF 10.2B: YELLOW (LEVEL 1) ALERT

<To be printed on CTSA/ SRLM letterhead>

YELLOW (LEVEL 1) ALERT

To
[Name of the Authorised signatory of the PIA]
[Designation of the Authorised signatory of the PIA]
[Name of PIA]
[Address]

Date:
File No:
Yellow Alert No²:

Project Details

Sanction Order No.³:
Sanction Order Date:
Project Commencement Date:
State(s) of Operation:

1. This notice is being issued to you under Section 10.2 of the Standard Operating Procedures of the Deen Dayal Upadhyaya Grameen Kaushalya Yojana (DDU-GKY) to alert you to the occurrence of default(s) in the implementation of the above project by your organisation, as per the details given in Annexure 1.
2. You are hereby advised to take corrective action immediately, as per the details given in Annexure 1, and inform the undersigned of the same, along with supporting evidence of the action taken, on or before the 18th of this month. Failure to do so may result in escalation of the default and lead to initiation of penalty proceedings.

OR

2. You are hereby advised that although you have completed the task as per the details given in Annexure 1, this was not done within the stipulated time-frame, and will therefore be counted as a default. However, no further action is necessary. This notice is only for your information.
3. This Alert and the relevant annexures are being emailed to [Primary email id for all communication mentioned in SF 3.3A] and may be acknowledged.
4. All communications should be sent by email to the address given below.

[Signature & Seal of Authorized Signatory]

< CTSA/ SRLM >

Address and Email ID

² Alert to be issued separately for each project, and numbered sequentially for every project

³ Mention latest/revised copy of Sanction Order

CC:

1. Chief Executive Officer & Project Head
2. CTSA/SRLM
3. Joint Secretary (Skills), MoRD
4. Office copy

Annexure I: Statement of default(s)

Sr. No.	Reference: Guidelines/ SoP/ Notification/ any relevant document	Item (Deviations)	Remarks/ Action to be taken by PIA

Annexure II

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

Annexure III

List of witnesses

SF 10.2C: RESPONSE TO YELLOW (LEVEL 1) ALERT

<To be printed on organisation letter head>

RESPONSE TO YELLOW (LEVEL 1) ALERT

To
[Name of the Authorised signatory of CTSA/SRLM]
[Designation of the Authorised signatory of CTSA/SRLM]
[Name of CTSA/SRLM]
[Address]

Date:
File No:

Project Details

Sanction Order No.⁴:
Sanction Order Date:
Project Commencement Date:
State(s) of Operation:

1. This is with reference to the Yellow (Level 1) Alert No. [number of Yellow Alert] dated [date of issue of Yellow Alert] issued to our organisation under Section 10.2 of the Standard Operating Procedures of the Deen Dayal Upadhyaya Grameen Kaushalya Yojana (DDU-GKY).
2. We would like to inform you that we have taken necessary action and completed the task on [Date of task completed] as per details provided in Annexure 1. Supporting evidence for this is provided in Annexure 2.
3. We request you to close the Alert and cancel the default.

[Signature & Seal of Authorized Signatory]

<PIA>

Address and Email ID

CC:

1. CTSA/ SRLM
2. Joint Secretary (Skills), MoRD
3. Office copy

⁴ Mention latest/revised copy of Sanction Order

Annexure I: Statement of tasks completed

Sr. No.	Reference: Guidelines/ SoP/ Notification/ any relevant document	Item (Deviations)	Remarks/ Action to be taken by PIA	Action taken by PIA

Annexure II

Evidence (including documents, photos, video, audio transcripts) to support claim that action has been taken to address the default.

SF 10.2D: RED (LEVEL 2) ALERT

<To be printed on CTSA/ SRLM letterhead>

RED (LEVEL 2) ALERT

To
[Name of the Authorised signatory of the PIA]
[Designation of the Authorised signatory of the PIA]
[Name of PIA]
[Address]

Date:
File No:
Red Alert No⁵:

Project Details

Sanction Order No.⁶:
Sanction Order Date:
Project Commencement Date:
State(s) of Operation:

Ref. 1: Yellow Alert No. [Yellow Alert No.] dated [Date of issue of Yellow Alert]⁷

Ref. 2: Response to Yellow Alert No. [File no. of PIA's response to Yellow Alert] dated [Date of PIA's response to Yellow Alert]⁸

1. This notice is being issued to you under Section 10.2 of the Standard Operating Procedures of the Deen Dayal Upadhyaya Grameen Kaushalya Yojana (DDU-GKY) to alert you to the continuance of default(s) in the implementation of the above project by your organisation, as per the details given in Annexure 1.

You were alerted to the occurrence of the default vide a Yellow Alert issued to you on [Date of issue of Yellow Alert], However, no action/ insufficient action⁹ has been taken by you to address the default.

OR

- 1 This notice is being issued to you under Section 10.2 of the Standard Operating Procedures of the Deen Dayal Upadhyaya Grameen Kaushalya Yojana (DDU-GKY) to alert you to the occurrence of a default in the implementation of the above project by your organisation, as per the details given in Annexure 1.
2. You are hereby advised to take corrective action immediately, as per the details given in Annexure 1, and inform the undersigned of the same, along with supporting evidence of the action taken, and an explanation for the occurrence/continuance of the default, on or before the 18th of this month. Failure to do so may result in initiation of penalty proceedings.

⁵ Alert to be issued separately for each project, and numbered sequentially for every project

⁶ Mention latest/revised copy of Sanction Order

⁷ To be used only if Yellow Alert has been issued and Red Alert is an escalation

⁸ To be used only if PIA has responded to Yellow Alert

⁹ Strike out which is not applicable

3. This Alert and the relevant annexures are being emailed to [Primary email id for all communication mentioned in SF 3.3A] and may be acknowledged.
4. All communications should be sent by email to the address given below.

[Signature & Seal of Authorized Signatory]

< CTSA/ SRLM >

Address and Email ID

CC:

1. Chief Executive Officer & Project Head
2. CTSA/SRLM
3. Joint Secretary (Skills), MoRD
4. Office copy

Annexure I: Statement of default(s)

Sr. No.	Reference: Guidelines/ SoP/ Notification/ any relevant document	Item (Deviations)	Action to be taken by PIA	Remarks (If Yellow Alert has been issued, and PIA has not responded or response is not satisfactory)

Annexure II

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

Annexure III

List of witnesses

SF 10.2E: RESPONSE TO RED (LEVEL 2) ALERT

<To be printed on organisation letter head>

RESPONSE TO RED (LEVEL 2) ALERT

To
[Name of the Authorised signatory of CTSA/SRLM]
[Designation of the Authorised signatory of CTSA/SRLM]
[Name of CTSA/SRLM]
[Address]

Date:
File No:

Project Details

Sanction Order No.¹⁰:
Sanction Order Date:
Project Commencement Date:
State(s) of Operation:

1. This is with reference to the Red (Level 2) Alert No. [number of Red Alert] dated [date of issue of Red Alert] issued to our organisation under Section 10.2 of the Standard Operating Procedures of the Deen Dayal Upadhyaya Grameen Kaushalya Yojana (DDU-GKY).
2. We would like to inform you that we have taken necessary action and completed the task on [Date of task completed] as per details provided in Annexure 1. Supporting evidence for this is provided in Annexure 2.
3. An explanation for the occurrence/continuance of the default is provided in Annexure 3.
4. We request you to consider our explanation and the corrective action we have taken, close the Alert and cancel the default.

[Signature & Seal of Authorized Signatory]

<PIA>

Address and Email ID

CC:

1. CTSA/ SRLM
2. Joint Secretary (Skills), MoRD
3. Office copy

¹⁰ Mention latest/revised copy of Sanction Order

Annexure I: Statement of tasks completed

Sr. No.	Reference: Guidelines/ SoP/ Notification/ any relevant document	Item (Deviations)	Remarks/ Action to be taken by PIA	Action taken by PIA

Annexure II

Evidence (including documents, photos, video, audio transcripts) to support claim that action has been taken to address the default.

Annexure III: Explanation for occurrence/continuance of default

SF 10.2F: CLOSURE OF RED (LEVEL 2) ALERT

<To be printed on CTSA/ SRLM letterhead>

CLOSURE OF RED (LEVEL 2) ALERT

To
[Name of the Authorised signatory of the PIA]
[Designation of the Authorised signatory of the PIA]
[Name of PIA]
[Address]

Date:
File No:
Alert Closure No¹¹:

Project Details

Sanction Order (s) No¹²:
Sanction Order Date:
Project Commencement Date:
State (s) of Operation:

Ref 1: Red Alert No. [Red Alert No.] dated [Date of issue of Red Alert]

Ref 2: Response to Red Alert No. [Red Alert No.] dated [Date of PIA's response to Red Alert]

1. This is with reference to your corrective action and explanation in response to the Red Alert issued to your organisation for a default in the implementation of the above project.
2. You are hereby informed that your action and explanation have been accepted. No further action is necessary.
3. The default will be recorded and counted at the time of performance assessment.

[Signature & Seal of Authorized Signatory]

< CTSA/ SRLM >

Address and Email ID

CC to:

1. Chief Executive Officer & Project Head
2. CTSA/SRLM
3. Joint Secretary (Skills)
4. Office copy

¹¹ Alert closure to be issued separately for each project, and numbered sequentially for every project

¹² Mention latest/revised copy of Sanction Order

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. ¹³:

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

Project Details

Sanction Order No. ¹⁴:
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 satisfactory¹⁵.

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.

¹³ Recommendation to be issued separately for each project, and numbered sequentially for every project

¹⁴ Mention latest/revised copy of Sanction Order

¹⁵ 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 Alerts¹⁶

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.

¹⁶ Applicable if recommendation to initiate penalty proceedings is escalation of Alerts

SF 10.2H: PENALTY RECOMMENDATION INTIMATION

<To be printed on CTSA letterhead>

PENALTY RECOMMENDATION INTIMATION

To
[Name of the Authorised signatory of the PIA]
[Designation of the Authorised signatory of the PIA]
[Name of PIA]
[Address]

Date:
File No:
Penalty Recommendation Intimation No¹⁷:

Project Details

Sanction Order No.¹⁸:
Sanction Order Date:
Project Commencement Date:
State(s) of Operation:

1. This is to inform you that a recommendation is being sent to the Ministry of Rural Development for initiation of penalty proceedings against your organization for default(s) in project implementation under Section 10.2.3 of the Standard Operating Procedures of the Deen Dayal Upadhyaya Grameen Kaushalya Yojana in view of the following:
2. You have taken no action/ incomplete action¹⁹ to address the default(s) in response to the Red Alert No. [No. of Red Alert] warning you of the possibility of penal action, issued to you on [date of issue of Red Alert].

AND/OR

You have not provided any explanation/a satisfactory explanation for the occurrence/continuance of the default²⁰ in response to the Red Alert No. [No. of Red Alert] warning you of the possibility of penal action, issued to you on dated [date of issue of Red Alert].

OR

1. This is to inform you that a recommendation is being sent to the Ministry of Rural Development for initiation of penalty proceedings against your organisation 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 detailed statement of the items of default is included in Annexure I.

¹⁷ Notice to be issued separately for each project, and numbered sequentially for every project

¹⁸ Mention latest/revised copy of Sanction Order

¹⁹ Strike out which is not applicable

²⁰ Strike out which is not applicable

3. The Ministry of Rural Development will consider this recommendation and decide whether penalty proceedings should be initiated against M/s [Name of PIA]
4. You will be hearing from the Ministry of Rural Development in due course.
5. The memorandum and annexures are being emailed to [Primary email id for all communication mentioned in SF 3.3A] and may be acknowledged by email to the address given below.

[Signature & Seal of Authorized Signatory]

< CTSA >

Address and Email ID

CC to:

1. Chief Executive Officer & Project Head
2. SRLM
3. Joint Secretary (Skills), MoRD
4. 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

Annexure II:

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

Annexure III:

List of witnesses

SF 10.2I: ACTION ON PENALTY INITIATION RECOMMENDATION

<To be printed on MoRD letterhead>

ACTION ON PENALTY INITIATION RECOMMENDATION

(When penalty not imposed)

To
[Name of the Authorised signatory of the PIA]
[Designation of the Authorised signatory of the PIA]
[Name of PIA]
[Address]

Dated:
File No:

Project Details

Sanction Order (s) No.²¹:
Sanction Order Date:
Project Commencement Date:
State(s) of Operation:

1. This is with reference to the Penalty Recommendation Intimation No. [number of Penalty Recommendation Intimation] dated [date of issue of Penalty Recommendation Intimation] sent to your organisation under Section 10.2 of the Standard Operating Procedures of the Deen Dayal Upadhyaya Grameen Kaushalya Yojana (DDU-GKY) by [Name of CTSA].
2. You are hereby informed that after due consideration of all the facts and circumstances of the case, the competent authority has decided not to initiate penalty proceedings against your organisation.
3. You are hereby advised to comply fully in future with all the norms for project implementation specified in the Standard Operating Procedures. Any further default will be viewed seriously and liable for penal action.

Under Secretary (RL-SP)
Address and Email ID

CC to:

1. Chief Executive Officer & Project Head
2. CTSA
3. SRLM

²¹ Mention latest/revised copy of Sanction Order