

J-17060/6/2014 Aajeevika Skills
Government of India
Ministry of Rural Development
Rural Skills Division

New Delhi, Dated 26th August, 2016

Notification No- 42/2016

Subject: Standard Operating Procedure (SOP) Part I and Part II for DDU-GKY- reg.

In continuation to this Ministry's Notification No. 53/2015 dated 21st September, 2015 regarding Standard Operating Procedure Part I and Notification No. 39/2015 dated 3rd August, 2015 regarding Part II, it is stated that the Ministry of Rural Development has amended SOP Part I and Part II as per provision of DDU-GKY Guidelines aligned in terms of Common Norms, alignment with MoRD notifications and taking into account feedback received from implementation of DDU-GKY. The amended SOP Part I and SOP Part II notified herein shall be followed henceforth in implementation of DDU-GKY (including Roshni projects). The summary of the changes is as below:

S No	Existing Section no. in SOP	Revision proposed Sections Changed	Reason for change	Annexure
1	1.5 Remedy for delay	Shift to new chapter 10 on Procedures for handling defaults in SOP Part II	This is a resultant process of alignment of SOPs with MoRD notification no. 33/2016 dated 27.6.2016.	Annexure I
2	1.6: Action for default	Shift to new chapter 10 on Procedures for handling defaults in SOP Part II	This is a resultant process of alignment of SOPs with MoRD notification no. 33/2016 dated 27.6.2016.	Annexure I
3	3.1.1.2: Monitoring of the prospective work schedule and penal clauses for failure	Shift to new chapter 10 on Procedures for handling defaults in SOP Part II	This is a resultant process of alignment of SOPs with MoRD notification no. 33/2016 dated 27.6.2016.	Annexure I
4	1.10: Enterprise Resource Planning (ERP) platform and	Revised in line with the IT architecture for DDU-GKY which requires :	This is necessary to comply with requirement of Common Norms	Annexure II

S No	Existing Section no. in SOP	Revision proposed Sections Changed	Reason for change	Annexure
	interim arrangements	<ul style="list-style-type: none"> All the stakeholders in the system including PIAs, State Govt., CTSA and MoRD to have IT systems for monitoring the projects Primary data entry with reference to PIA project operations will be done from PIA system. Similarly, any data requirements from CTSA and State Govt. will be done on their respective systems. Project monitoring will be done from a designated Central system to be notified by MoRD and data integration mechanisms (including APIs) with other systems will be specified by MoRD. 	for reporting to LMIS in MSDE.	
5	New section to be added	Add 1.11: Central Monitoring Centre (CMC) in chapter 1 SOP Part I	To enforce improved monitoring mechanism of their projects by PIA Headquarters. This is resulting outcome of need to plug gaps detected in monitoring in surprise inspections by MoRD.	Annexure II


S No	Existing Section no. in SOP	Revision proposed Sections Changed	Reason for change	Annexure
6	Standard Form (SF) in section 3.3	<p>(i) Replace SF 3.3A: Project execution readiness assessment at Project Headquarter</p> <p>(ii) Add SF 3.3A1: Project execution readiness assessment at PIA Headquarter</p>	Introduction of new formats for improved monitoring mechanism for project execution readiness at Project Headquarter and at PIA Headquarter. This is resulting outcome of need to plug gaps detected in monitoring in surprise inspections by MoRD.	Annexure III
7	4.7: Outline of Assessment and Certification	<p>Replace 4.7.</p> <p>Add 4.7.1: Internal and formative assessment and course completion certification.</p> <p>Add 4.7.2: External assessment and certification</p>	To comply with the objective of attaining Attitude, Skills and Knowledge agenda, for quality skilling leading to high value placements.	Annexure IV
8	5.2: Inspection of Training center	Replace 5.2: Inspection of training centre	Provisions on sharing inspection reports with PIA for compliance and reporting added. This is resulting outcome of need to plug gaps detected in monitoring in surprise inspections by MoRD.	Annexure V
9	5.4: Assessment and Certification of candidates	Deleted.	This section is now shifted into Section 4.7 of chapter 4 of SOP part I.	

S No	Existing Section no. in SOP	Revision proposed Sections Changed	Reason for change	Annexure
10	SF 6.2A3: Candidate Application Form	Replace SF 6.2A3: Candidate Application Form	In order to facilitate identification of candidate with appropriate aptitude for skilling courses under the program.	Annexure VI
11	7.1.2: Desk verification of documents of candidates in Group A (who are tracked as per SF 7.1B1)	Replace 7.1.2:Desk verification of documents of candidates in Group A (who are tracked as per SF 7.1B1)	Enable ERP generation of samples for verification. Permit PIAs for reporting of placement data with a month delay for a maximum of 20% placed candidates.	Annexure VII
12	7.1.3: Desk verification of documents of candidates in Group 'B' (who are tracked as per SF 7.1B2)	Replace 7.1.3:Desk verification of documents of candidates in Group 'B' (who are tracked as per SF 7.1B2)	Enable ERP generation of samples for verification. Permit PIAs for reporting of placement data with a month delay for a maximum of 20% placed candidates.	Annexure VII
13	SF7.2C: Procedure to draw samples for physical verification and confirmation of placement	Replace SF 7.2C: Procedure to draw samples for physical verification and confirmation of placement	The SF is being modified as per provision of DDU-GKY Guidelines aligned in terms of Common Norms notified by Ministry of Skill Development, requiring 70% placement.	Annexure VII
14	SF 7.2D: Items to be checked during on-site visit for placement verification	Replace SF 7.2D: Items to be checked during on-site visit for placement verification	SF is being modified as a resulting outcome of need to plug gaps detected in monitoring in surprise	Annexure VII

S No	Existing Section no. in SOP	Revision proposed Sections Changed	Reason for change	Annexure
			inspections by MoRD.	
15	8.2: Financial monitoring- Roles and responsibilities of key agencies and actors.	Amend 8.2 : Financial monitoring – roles and responsibilities of key agencies and actors	Introduced Surprise inspection under section 8.2. This is resulting outcome of need to plug gaps detected in monitoring in surprise inspections by MoRD.	NIRD to prepare forms and suitable incorporation in SOP
16	First bullet of 8.3.2: Cash inflows to the Project Account	Amend First bullet of 8.3.2: Cash inflows to the Project Account	Based on Notification no. 275/06/2015-IT (B), dated June 1, 2016 issued by Ministry of Finance, provision for Tax Deduction at Source (TDS) added.	Annexure VIII
17	New section to be added	Add 8.4.5.2: Insurance coverage	This is a resultant process of alignment of SOPs with MoRD notification no. 1/2016.	Annexure VIII
18	New section to be added	Add 8.4.8: Mobile tracking support cost	The new provision is added as per provision of DDU-GKY Guidelines aligned in terms of Common Norms notified by Ministry of Skill Development, to assist better tracking of candidates after placement.	Annexure VIII
19	8.8: Training cost and incentive payment	Replace 8.8: Training cost and incentive payment	Payment of career progression incentive to candidates and payment of	Annexure VIII

S No	Existing Section no. in SOP	Revision proposed Sections Changed	Reason for change	Annexure
			retention support incentive to candidates, as incentive sharing mechanism added in terms of DDU-GKY Guidelines approved by Empowered Committee of NRLM in MoRD.	
20	SF5.2B: CCTV – Specifications, location and recording, review and storage	Replace SF 5.2B: Technical specifications for audio video CCTV recordings, including Camera, Microphone, Network Video Recorder, LAN switch, WAN router, Bandwidth, UPS, Storage and review.	To ensure good quality of video and audio recordings and adequate storage space. Technical specifications are given in explanation below.	Annexure V

2. The SOP Part I and SOP Part II shall not be applicable to Placement linked skill development projects sanctioned on or before 20th September, 2013 under the Guidelines for Special Projects under SGSY/ NRLM unless so specified by the Ministry.


(S B Tiwari)

Under Secretary to Government of India

Tel: 011-23743625

Copy to:

1. Secretary, Department of Rural Development, All State Governments
2. All SRLM/State Skill Mission
3. ED, NIRD, Rajender Nagar, Hyderabad- to suitably consolidate SOP changes in terms of notification and furnish revised SOPs for publication
4. VP, NABCONS, New Delhi
5. All officials in DDU-GKY Division, MoRD
6. Guard File
7. Shri Rabindra Kesari – for uploading the notification on the website

10 PROCEDURES FOR HANDLING DEFAULTS

10.1 INTRODUCTION

Detailed guidelines and processes have been prescribed in the foregoing chapters for various aspects of project implementation under DDU-GKY. This chapter describes the actions to be taken and procedures to be followed, if there is any deviation from the prescribed norms, and for imposition of penalty in cases where a default occurs.

An overview of what constitutes a default and the procedures for handling defaults is provided in “SF 10.1A: Overview of Default Handling Procedures”, while the table in “SF 10.1B: Competent authority for handling default procedures” describes the competent authority to deal with different stages of the default handling procedures, including imposition of penalties.

10.2 ISSUE, ESCALATION AND CLOSURE OF ALERTS

10.2.1 Yellow (Level 1) Alert

Overview

Item	Description
Purpose	To alert a PIA regarding occurrence of default(s) To provide an opportunity to the PIA to address the default(s)
Reference to guidelines	Not applicable
Prerequisite/s	Occurrence of default
Time for completion	As per the activity table
Resources	SF 10.2A: Monthly Statement of Alerts SF 10.2B: Yellow (Level 1) Alert SF 10.2C: Response to Yellow (Level 1) Alert
Process owners	CTSA for YPS SRLM for APS

Activities

Step no.	Actor	Action	Time for completion ¹	Relevant documents
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¹ Issue of Alerts for defaults arising due to delays will be automated through an ERP system. Timelines for completion may be revised once the new system is notified.

Step no.	Actor	Action	Time for completion ¹	Relevant documents
1.	SRLM for APS and CTSA for YPS	Issue Yellow Alert	8 th of the month for the previous month	SF 10.2A: Monthly Statement of Alerts SF 10.2B: Yellow (Level 1) Alert
2.	PIA	Address the default and complete the relevant task Inform the Alert issuing authority of action taken	18 th of the month in which Yellow Alert is received	SF 10.2C: Response to Yellow (Level 1) Alert
3.	SRLM for APS and CTSA for YPS	Verify that corrective action is satisfactory If so, no further action is necessary OR Action as per 10.2.2	28 th of the month in which response to Yellow Alert is received or supposed to be received	

10.2.2 Red (Level 2) Alert

Overview

Item	Description
Purpose	To alert a PIA regarding occurrence or continuance of default(s) To provide an opportunity to the PIA to address the default(s)
Reference to guidelines	Not applicable
Prerequisite/s	No action/ incomplete action in response to Yellow Alert OR Default is such that issue of Red Alert directly is warranted as per SRLM/CTSA
Time for completion	As per the activity table
Resources	SF 10.2A: Monthly Statement of Alerts SF 10.2D: Red (Level 2) Alert SF 10.2E: Response to Red (Level 2) Alert SF 10.2F: Closure of Red (Level 2) Alert
Process owners	CTSA for YPS

Item	Description
	SRLM for APS

Activities

Step no.	Actor	Action	Time for completion ²	Relevant documents
1.	SRLM for APS and CTSA for YPS	Issue Red Alert <ul style="list-style-type: none"> if there is no response to Yellow Alert or if corrective action in response to Yellow Alert is not satisfactory or default is such that issue of Red Alert directly is warranted 	8 th of the month for the previous month	SF 10.2A: Monthly Statement of Alerts SF 10.2D: Red (Level 2) Alert
2.	PIA	Address the default and complete the relevant task Inform the Alert issuing authority of action taken and provide explanation for occurrence of default	18 th of the month in which Red Alert is received	SF 10.2E: Response to Red (Level 2) Alert
3.	SRLM for APS and CTSA for YPS	Examine PIA's explanation and corrective action If they are satisfactory, send closure notice to PIA OR Action as per 10.2.3 or 10.3	28 th of the month in which response to Red Alert is received or supposed to be received	SF 10.2F: Closure of Red (Level 2) Alert

10.2.3 Escalation to Penalty Process (for YPS only)

Overview

Item	Description
Purpose	To make a recommendation to MoRD for initiation of penalty proceedings against a defaulting PIA To inform the PIA of CTSA's recommendation to MoRD

² Issue of Alerts for defaults arising due to delays will be automated through an ERP system. Timelines for completion may be revised once the new system is notified.

Item	Description
Reference to guidelines	Not applicable
Prerequisite/s	Non-satisfactory or no explanation and/or no action/ incomplete action in response to Red Alert OR Decision by CTSA that penalty proceedings should be initiated
Time for completion	As per the activity table
Resources	SF 10.2G: Recommendation for Initiation of Penalty Proceedings SF 10.2H: Penalty Recommendation Intimation SF 10.2I: Action on Penalty Initiation Recommendation
Process owner	CTSA

Activities

Step no.	Actor	Action	Time for completion ³	Relevant documents
1.	CTSA	<p>Recommend to MoRD that penalty proceedings be initiated against a PIA</p> <ul style="list-style-type: none"> • If there is no action in response to Red Alert or • If corrective action and explanation in response to Red alert are not accepted or • If CTSA decides that penalty proceedings should be initiated against the PIA at any point (whether an Alert has been issued or not) <p>Inform the PIA about the Penalty Recommendation to MoRD</p>	28 th of the month in which response to Red Alert is received or supposed to be received	<p>SF 10.2G: Recommendation for Initiation of Penalty Proceedings</p> <p>SF 10.2H: Penalty Recommendation Intimation</p>
2.	MoRD	<p>Decide whether penalty proceedings should be initiated against the PIA</p> <p>Inform the PIA in case no penalty</p>	Within 30 days of receipt of CTSA's	SF 10.2I: Action

³ Issue of Alerts for defaults arising due to delays will be automated through an ERP system. Timelines for completion may be revised once the new system is notified.

Step no.	Actor	Action	Time for completion ³	Relevant documents
		proceedings are to be initiated or if decision is deferred OR Action as per 10.3	recommendation (if there is delay, then intimate the status of the case at least once in 30 days)	on Penalty Initiation Recommendation

10.3 PENALTY PROCESSES

10.3.1 Initiation and Closure of Penalty Proceedings

Overview

Item	Description
Purpose	To delineate the penalty processes, including initiation and conduct of proceedings, imposition of penalty, appeal and closure
Reference to guidelines	Not applicable
Prerequisite/s	Decision to initiate penalty proceedings either on recommendation by CTSA or directly by MoRD/SRLM
Time for completion	As per the activity table
Resources	SF 10.3A: Show Cause Notice SF 10.3B: Response to Show Cause Notice SF 10.3C: Personal Hearing Intimation SF 10.3D: Proceedings of Personal Hearing SF 10.3E: Notice of Imposition of Penalty/ Dropping of Penalty Proceedings SF 10.3F: Request for Closure of Penalty Proceedings SF 10.3G: Notice of Closure of Penalty Proceedings SF 10.3H: Appeal against Penalty SF 10.3I: Decision on Appeal against Penalty
Process owners	MoRD for YPS SRLM for APS

Activities

Step no.	Actor	Action	Time for completion	Relevant documents
Initiation of Penalty Proceedings				

Step no.	Actor	Action	Time for completion	Relevant documents
1.	MoRD for YPS and SRLM for APS	Issue Show Cause Notice to PIA	No specific timeline (Issue date is P_1)	SF 10.3A: Show Cause Notice
2.	PIA	Provide written response to Show Cause Notice to MoRD (for YPS) or SRLM (for APS), with copy to CTSA	P_1+25 days	SF 10.3B: Response to Show Cause Notice
3.	MoRD for YPS and SRLM for APS	<p>Consider written response of PIA</p> <p>Decide whether PIA needs to be given an opportunity for personal hearing (compulsory if major penalty is contemplated; otherwise optional)</p> <p>Issue notice to PIA, if personal hearing is required</p> <p>Inform the PIA if decision is pending</p>	<p>Within 30 days of receipt of response from PIA</p> <p>(if there is delay, then intimate the status of the case at least once in 30 days)</p>	SF 10.3C: Personal Hearing Intimation
4.	MoRD for YPS and SRLM for APS	<p>Complete the personal hearing proceedings, if initiated</p> <p>Record the personal hearing proceedings and communicate details to the PIA</p> <p>Inform the PIA if decision is pending</p>	<p>Within 30 days of issuing Personal Hearing Intimation</p> <p>(if there is delay, then intimate the status of the case at least once in 30 days)</p>	SF 10.3D: Proceedings of Personal Hearing

Step no.	Actor	Action	Time for completion	Relevant documents
Imposition and Implementation of Penalty				
5.	MoRD for YPS and SRLM for APS	<p>Take a decision regarding imposition of penalty and inform the PIA that</p> <ul style="list-style-type: none"> • Penalty proceedings are being dropped or • A minor penalty is being imposed or • A major penalty is being imposed <p>Inform the PIA if the decision is pending</p>	<p>Within 30 days of receipt of written response from PIA or from date of personal hearing if such an opportunity is given to the PIA (if there is delay, then intimate the status of the case at least once in 30 days)</p>	SF 10.3E: Notice of Imposition of Penalty / Dropping of Penalty Proceedings
6.	PIA	<p>If MoRD/SRLM decides to drop the penalty proceedings, then no further action is necessary</p> <p>If penalty is imposed</p> <ul style="list-style-type: none"> • Comply with the penalty order • Request for closure of penalty proceedings if the PIA decides not to invoke the appeal process or • Action as per Appeal 	As specified in Notice of Imposition of Penalty	SF 10.3F: Request for Closure of Penalty Proceedings

Step no.	Actor	Action	Time for completion	Relevant documents
		process		
7.	CTSA/ MoRD for YPS and SRLM for APS	If penalty has been imposed, verify whether the PIA has complied with the terms of the penalty order and inform MoRD	Within 5 days of the time prescribed for compliance in the Notice of Imposition of Penalty	
8.	MoRD for YPS and SRLM for APS	Close penalty proceedings and inform the PIA	Within 15 days of confirmation of full compliance with Notice of Imposition of Penalty	SF 10.3G: Notice of Closure of Penalty Proceedings
Appeal				
9.	PIA	Appeal against penalty	Within 20 days of receipt of Notice of Imposition of Penalty	SF 10.3H: Appeal against Penalty
10.	Appellate Authority	Provide an opportunity to the PIA to present its appeal against the penalty imposed, including opportunity for personal hearing if required	Within 30 days of receipt of	SF 10.3C: Personal Hearing Intimation SF 10.3D: Proceedings of Personal Hearing

Step no.	Actor	Action	Time for completion	Relevant documents
		Decide whether to <ul style="list-style-type: none"> • Uphold the penalty • Modify the penalty • Cancel the penalty 	appeal against penalty if there is no personal hearing or 60 days of receipt of appeal against penalty if opportunity for personal hearing is provided (if there is delay, then intimate the status of the case at least once in 30 days)	SF 10.3I: Decision on Appeal against Penalty
11.	PIA	Comply with the decision of the appellate authority Request for closure of penalty proceedings	As specified in the order of the appellate authority	SF 10.3F: Request for Closure of Penalty Proceedings
12.	CTSA/SRLM	Verify whether the PIA has complied with the order of the appellate authority if penalty is upheld or modified Comply with the terms of the order of the appellate authority if		

Step no.	Actor	Action	Time for completion	Relevant documents
		penalty is cancelled or modified		
13.	CTSA/SRLM	Inform the PIA that penalty proceedings are closed		SF 10.3G: Notice of Closure of Penalty Proceedings

10.3.2 Suo Motu Imposition of Penalty

Notwithstanding the process delineated in 10.3.1 above, in exceptional cases (for example, diversion or funds, fraudulent practices, persistent defaults, actions that affect the safety of candidates), the competent authority may decide to impose penalty suo motu on a PIA. In such cases, penalty will be imposed directly on the PIA without issuance of any Alert or Notice. However, the PIA will retain the right to appeal against the penalty, and the appeal process will be followed as described above.

10.3.3 Penalty Orders

An order by the competent authority to impose a penalty (major or minor) on a PIA shall be a speaking order, specifying the details of the penalty imposed, and clearly laying down the reasons for penalty imposition as well as the process of implementation of the penalty.

10.4 HANDLING DEFAULTS BY CTSA (FOR YPS) / SRLM (FOR APS)

In cases where there is any delay committed by the CTSA (for YPS) or SRLM (for APS), the following procedure will be followed.

- Notice 1: Notice will be issued by MoRD giving 5 working days to take further action.
- Notice 2: If the first notice is not complied with, a second notice will be issued giving 5 working days to take further action.
- Notice 3: After waiting for twenty working days after issue of first notice if CTSA has not completed the action MoRD will take suitable steps for getting the work done. It will also initiate penal action against the CTSA for YPS. Similarly for APS if state does not respond MORD will regulate the flow of funds based on the project progress. If delays occur frequently APS status of the state will also be reviewed. If the delay continues after twenty days of issue of Notice 1, MoRD may take suitable action for completion of the task. It may also initiate penal action against the CTSA (for YPS) or regulate the flow of funds based on the project progress (for APS). The APS status of the state may also be reviewed if delays occur frequently.

Note: All such notices will be compiled and will become part of CTSA/SRLM performance evaluation.

For procedures to deal with defaults other than delays, a separate notification will be issued by MoRD.

10.5 REPLACEMENT OF OLDER PROCEDURES AND TRANSITION TO THE NEW PROCEDURES

10.5.1 Sections to be replaced

From a date to be notified by MoRD the procedures prescribed in this Chapter will come into force. Subsequently the following sections/portions of SOP version 2.0.0 issued on August 3, 2015 will stand repealed:

- Section 1.5 and 1.6 of Chapter 1
- Section 3.1.1.2 of Chapter 3
- SF 7.1F of Chapter 7 – portion relating to correction of errors found in the 1st round of desk data verification by SRLM (for APS) and CTSA (for YPS) on the samples checked by the PIA OP team and Q team

10.5.2 Dealing with defaults where action has already been initiated

All defaults that occur after the notification of this Chapter will be dealt with in accordance with the processes described in this Chapter. However, in cases where a default has occurred before the date of this notification the same shall be dealt with, as per earlier procedures.

10.5.3 Nomination of competent authorities by CTSA/ SRLM

The competent authorities for handling defaults at the State level shall be decided by each State within one month of the notification of this Chapter. Failing this, the powers delegated to levels lower than COO/Skills of SRLM will be vested with COO/Skills, and all other powers will remain as per this Chapter. The competent authority from SRLM for handling default procedures for APS should not be below the level of State Project Manager (SPM).

The competent authorities for handling defaults at the CTSA level shall be decided and notified by each CTSA within one month of the notification of this Chapter. Failing this, MoRD will issue a notification on the matter, in consultation with the CTSA's, within two months of the notification of this Chapter.

10.6 LIST OF STANDARD FORMS IN CHAPTER 10

SF 10.1A: OVERVIEW OF DEFAULT HANDLING PROCEDURES.....	13
SF 10.1B: COMPETENT AUTHORITY FOR HANDLING DEFAULT PROCEDURES.....	22
SF 10.2A: MONTHLY STATEMENT OF ALERTS.....	24
SF 10.2B: YELLOW (LEVEL 1) ALERT.....	26
SF 10.2C: RESPONSE TO YELLOW (LEVEL 1) ALERT.....	28
SF 10.2D: RED (LEVEL 2) ALERT.....	30
SF 10.2E: RESPONSE TO RED (LEVEL 2) ALERT.....	32
SF 10.2G: RECOMMENDATION FOR INITIATION OF PENALTY PROCEEDINGS.....	35
SF 10.2H: PENALTY RECOMMENDATION INTIMATION.....	38
SF 10.2I: ACTION ON PENALTY INITIATION RECOMMENDATION.....	40
SF 10.3B: RESPONSE TO SHOW CAUSE NOTICE.....	43
SF 10.3C: PERSONAL HEARING INTIMATION.....	45
SF 10.3D: PROCEEDINGS OF PERSONAL HEARING.....	47
SF 10.3E: NOTICE OF IMPOSITION OF PENALTY/ DROPPING OF PENALTY PROCEEDINGS.....	48
SF 10.3F: REQUEST FOR CLOSURE OF PENALTY PROCEEDINGS.....	51
SF 10.3G: NOTICE OF CLOSURE OF PENALTY PROCEEDINGS.....	52
SF 10.3H: APPEAL AGAINST PENALTY.....	54
SF 10.3I: DECISION ON APPEAL AGAINST PENALTY.....	56

SF 10.1A: Overview of Default Handling Procedures

Defaults: Meaning and Scope

Defaults include but are not limited to

- Delay – Non-completion of activities as per specified timelines
- Shortfall – Inability to achieve the desired level of performance with reference to various processes
- Non-compliance with prescribed norms and processes
- Fraudulent practices

Identification of a default

Violation of the processes, norms and timelines prescribed in the manual of SOP, the Guidelines, and the Notifications issued by the Skills division of MoRD will be the basis for identification of a default.

The defaults that occur due to violation of SOP are easily identifiable and will be dealt with as per the processes described in this Chapter.

A default could also occur due to (a) a violation of the Guidelines, the Notifications, the Sanction order and the Memorandum of Understanding, or (b) the commission or omission of an action for which the processes of default in SOP are not clearly specified. In such cases, the competent authority will take a decision regarding:

- Identification of the default
- Course of action to be taken under Chapter 10

The competent authority will give clear speaking orders specifying the basis on which the decision was taken.

Default Handling Procedures

Two main processes are envisaged for handling defaults:

- a. Alert processes
- b. Penalty processes

a. Alert processes

Alerts are intended to serve as a warning to PIAs that a default has occurred. There is no penalty imposition intended at this stage. However, every Alert issued will be recorded and may affect the assessment of the PIA's performance.

Two levels of Alerts are provided for:

A **Yellow Alert** is a level 1 alert, informing a PIA that a default has occurred.

If the PIA takes appropriate action within the specified timelines to address the default, the Alert is deemed to be closed.

If the default is not addressed satisfactorily, the next level of Alert will be issued.

If a default occurs but is addressed before the issue of a Yellow Alert, the Alert will still be issued. In such a case, the Alert will be a **deemed** Yellow Alert, and will be recorded as such; it will be counted as an Alert at the time of assessment of the PIA's performance. However, the PIA does not have to take any further action and the Alert is automatically closed.

A **Red Alert** is a level 2 alert. It will be issued if the PIA does not respond satisfactorily to a Yellow Alert (in which case it will be an escalation of a Yellow Alert) or if the default is considered serious enough to warrant a level 2 Alert directly.

A PIA is expected to not only address the default within the timelines specified in the Alert but also provide a satisfactory explanation for the occurrence and/or continuance of the default. A Red Alert will be closed only if both these conditions are satisfied. If either of these conditions is not met, the Alert process will escalate to a Penalty process.

Any default that occurs in any of the processes prescribed in the SOP will lead to the issuance of an Alert, as per the provisions of Sections 10.2 and Section 10.3.

Every month, along with Yellow and Red Alerts for defaults occurring in the previous month, a consolidated Statement of Alerts will be sent to every PIA. This Statement will give the status of all Alerts issued to the PIA, and indicate pending actions if any.

A delay in issue of Alerts will, however, not negate the occurrence of a default.

Notwithstanding any of the above, special processes/timelines are prescribed for the following defaults:

- Delays related to the Prospective Project Work Schedule (processes for dealing with delays in PPWS are elaborated in **Annexure – I**)
- Delays related to payment of food and to-and-fro charges and Post Placement Support (PPS) to candidates, and payment of salaries to trainers, master trainers and Q-team (processes for dealing with such delays are elaborated in **Annexure – II**)

b. Penalty Processes

Penalty processes comprise two main stages:

- Initiation of penalty proceedings and imposition of penalty
- Appeal against penalty

Initiation of penalty proceedings and imposition of penalty

A penalty may be imposed on a PIA for any kind of default, in one of the following ways:

- *As an escalation of the Alert process and initiation of penalty proceedings:* If the PIA does not take satisfactory action or provide a satisfactory explanation in response to a Red Alert, penalty proceedings may be initiated by issuing a Show Cause Notice to the PIA. These proceedings may result in the imposition of a penalty.
- *Directly after initiation of penalty proceedings:* Penalty proceedings may also be initiated by issuing a Show Cause Notice to the PIA, without going through the entire Alert process. These proceedings may also result in the imposition of a penalty.
- *Suo Motu:* In exceptional cases, a penalty may be imposed suo motu, directly by the competent authority, without initiating separate penalty proceedings, but after recording the reasons for such imposition.

A penalty imposed by the competent authority may be either **major** or **minor**.

A detailed description of penalties that may be imposed under each category is given in the table below.

Table 10-1: Details of minor and major penalties

Category	Penalty
Minor	<ol style="list-style-type: none"> 1. Fine up to Rs. 50,000 per occasion 2. Retraining candidates without any additional payment to PIA 3. Closing of training centre/s 4. Reduction of targets 5. Censure
Major	<ol style="list-style-type: none"> 6. Fines higher than Rs.50,000 but not exceeding 2% of the project cost 7. Closure of the project 8. Blacklisting of PIA in the state for a specified period 9. Blacklisting of PIA in the country for a specified period*
<p>Note: All penalties are hierarchical with ascending order of severity. While imposing the penalties a competent authority impose a combination of penalties provided, due procedure as prescribed for imposing the higher penalty is followed.</p> <p>* For blacklisting across the country by the State government, prior approval of MoRD will be required.</p>	

Appeal against penalty

Regardless of the process followed for imposition of a penalty, a PIA will have the right to appeal against the penalty to the Appellate Authority. However, even if a PIA decides to appeal, it has to comply with the terms of the penalty notice; that is, it can go in appeal only after the penalty is paid.

As part of its appeal, the PIA may provide relevant documents and also make a personal representation to the Appellate Authority.

The order of the Appellate Authority will be final and binding on all parties.

Note: The above does not take away the authority of the State/Centre to initiate other proceedings under applicable laws, including Revenue Recovery or Public Demands Recovery Act.

Issue of default notice – combining more than one default in a single notice

Generally a single notice will be issued for a single default. However, if more than one default occurs in a single process, the competent authority has discretion to issue a separate notice for each default.

(Clarification on single process: All steps included under heading level 4 in any chapter of the SOP will be treated as a single process. For example: Items under Section 5.2.1.3 will be part of a single process. But if more than one default arises out of the inspection carried out under this section, the competent authority may decide whether to initiate action under one default process or as separate default processes. However, if defaults occur under sections 5.2.1.3 and 5.2.1.4 then separate default processes will be initiated under each section.)

Further, nothing in the foregoing precludes a competent authority from issuing a single notice for defaults occurring in different processes.

Communications related to defaults and penalties

All communications related to defaults will be sent to the PIA at the primary email id provided by the PIA in the project execution readiness form. The email is deemed to have been received by the PIA two days after the date of despatch. In addition, where penalty proceedings are initiated, notices will be sent to the PIA by Registered Post or Speed Post.

All communications related to defaults sent by the SRLM/CTSA/MoRD will specify the email id to which the PIA has to send its response. In addition, responses by the PIA to all notices related to penalties should also be sent by Registered Post or Speed Post to the address specified in the relevant communication.

Competent authority

Competent authorities to deal with all processes related to defaults are specified in "SF 10.1B: Competent authority for handling default procedures".

Impact of policy changes

Notwithstanding any of the procedures prescribed in this Chapter and Standard Forms, PIAs may be required to undertake or modify activities in the event of a change in government policy or programme objectives. In such cases, the new/revised activities to be undertaken by PIAs would be considered part of the streamlining process and would not constitute any penal action.

Annexure – I

Monitoring of the Prospective Project Work Schedule and action for default [This annexure replaces section 3.1.1.2]

These norms and procedures apply only to training commencement, that is, the number of trainees for whom training has to start; they do not apply to training completion or quality of training.

- The number of candidates in a batch after a batch is frozen will be treated as number of candidates for whom training has commenced and shall be considered for the purpose of monitoring of PPWS.
- The total number of cumulative trainings that have commenced till the end of every month will form the basis for evaluation of the PIA's performance, and not the number commenced in that month alone; that is, the cumulative performance at the end of each month will be assessed.
- The cumulative training achievement will be reviewed by CTSA/ SRLM as follows:
 - Shortfall in the cumulative total for training commencement should not be more than 10% of the target for the first 6 months from the project commencement date.
 - Shortfall in the cumulative total for training commencement should not be more than 5% of the target from the 7th month onwards, and up to 6 months before completion of the project. However, for projects with a duration of 1 year or less, there should be no shortfall from the 7th month onwards.
 - There should not be any shortfall in the cumulative training commencement target for the last 6 months of the project.

Any deviation from the norms prescribed above will constitute a default and will be dealt with as per the timelines of Sections 10.2 and 10.3.

The process for issue of Alerts and initiation of penalty proceedings will be as follows:

- A Yellow (Level 1) Alert will be issued the first time there is a shortfall in achievement of the cumulative target at the end of a month. The Alert will be closed if there is no shortfall at the end of the following month. For any subsequent shortfall, a new Yellow Alert will be issued.
- If the shortfall continues – that is, if there is a shortfall at the end of the month immediately following the one for which the Yellow (Level 1) Alert was issued – then the Yellow Alert will be escalated to a Red (Level 2) Alert. The Red Alert will be closed if there is no shortfall at the end of the following month. For any subsequent shortfall, a new Yellow (Level 1) Alert will be issued.
- If the shortfall continues further – that is, if there is a shortfall at the end of the month immediately following the one for which the Red (Level 2) Alert was issued – then the Alert processes will be escalated to Penalty processes.

- Once a default escalates to the penalty stage, all Alerts will be stopped until one of the two steps given below is completed:
 - *If a decision is taken that penalty proceedings will not be initiated and no Show Cause Notice is issued:* MoRD/SRLM will indicate the action to be taken for the next occurrence of a default; failing this, a Yellow Alert will be issued on the occurrence of the next default.
 - *If a decision is taken to initiate penalty proceedings:* A Show Cause Notice will be issued after considering the actual cumulative performance at the end of the previous month, and the competent authority will consider the current performance before taking a decision regarding imposition of penalty. The order imposing a penalty or dropping of penalty proceedings will indicate the action to be taken for the next occurrence of a default; failing this, a Yellow Alert will be issued on the occurrence of the next default.

For example: If on 8 February, a Yellow Alert is issued for a shortfall in January, then by end of February, the PIA has to achieve the cumulative target for the month of February for the Yellow Alert to be closed. If the cumulative target is not achieved in February, then a Red Alert will be issued on 8 March. If the cumulative target for the month of March is not achieved, then it will be escalated to penalty processes.

Annexure – II

Default procedures on payment of food and to-and-fro charges, post placement support to the candidates, and payment of salaries to trainers, master trainers and Q team members

Periodicity, timelines, accounting and audit procedures for payment of food and to-and-fro charges, post placement support to the candidates and salaries to trainers, master trainers and Q team members are detailed in chapter 8 of SOP. This SF deals with procedures to deal with defaults related to these payments.

Every payment due to every single candidate/trainer/master trainer/Q team member should be made by the prescribed due date. Delay in even a single payment to a single individual would constitute a default.

The action to be taken for such a default will be measured on the basis of the number of fortnight(s) that have elapsed since the due date for payment. Depending upon the extent of delay, Alerts/Notices will be issued as per the following table:

Table 10-2: Conditions for issue of Alert/Notice

Sl.	Delay	Alert/Notice
1	Not paid on due date but paid within the same fortnight in which due date falls (e.g. if payment is due by 3 rd of a month but paid any time after 3 rd but before 15 th of the month)	Yellow (Level 1) Alert
2	Not paid in the same fortnight in which due date falls but paid within the next fortnight (e.g. if payment is due by 3 rd of a month but paid any time after 15 th but before end of the month; or if payment is due by 18 th of the month but paid any time after 1 st but before 15 th of the next month)	Red (Level 2) Alert
3	Not paid within the fortnight following the one in which due date falls (e.g. if payment is due by 3 rd of a month but not paid by the end of the month; or if payment is due by 18 th of the month but not paid by 15 th of the next month)	Escalation to penalty process (recommendation to MoRD for initiation of penalty proceedings) for YPS and issue of Show Cause Notice for APS

A sample schedule for issue of Yellow/Red Alerts for payment of food and to-and-fro charges to a single candidate is indicated below:

Table 10-3: Sample for complete cycle of Alerts

Sl.	Period for which payment to be made	Due date for payment	Completion of monthly verification date	Actual payment date	Issue of Alert date	Type of Alert to be issued
1	16 th to 31 st December 2015 (2 nd fortnight)	3 rd January 2016	29 th February 2016	For payment made between 4 th and 15 th January 2016	8 th March 2016	Yellow Alert
				For payment made on 16 th and 31 st January 2016	8 th March 2016	Red Alert
2	1 st to 15 th January 2016 (1 st fortnight)	18 th January, 2016		For payment made on 19 th to 31 st January 2016	8 th March 2016	Yellow Alert
				For payment not made by 31 th January 2016	8 th March 2016	Red Alert

While every single instance of delay or non-payment will invite the issue of an Alert, a PIA will be sent a consolidated list of Alerts for each month – that is, all the individuals for whom payment is pending will be listed, with the kind of Alert being issued in each case indicated against the name of each individual.

SF 10.1B: Competent authority for handling default procedures

Table 10-4: Competent authority to handling default procedures for APS

Category	Competent authority of SRLM	Recipient & Respondent of PIA	Copy to: for information
Yellow Alert	Authority to issue & escalate: The person designated to issue such notices*	Project head	MoRD: Joint Secretary (Skills) CTSA: Head of skills unit of the organisation PIA: Authorized signatory & CEO
Red Alert	Authority to issue, escalate & close the alert: The person designated to issue such notices*	Authorized signatory	MoRD: Joint Secretary (Skills) CTSA: Head of the organisation PIA: Project head & CEO
Issue of Show cause notice	Issuing Authority - COO/Skills, SRLM	Authorized signatory	MoRD: Joint Secretary (Skills) CTSA: Head of skills unit of the organisation PIA: Project head & CEO
Imposition of minor penalty / Termination of penalty proceedings	COO/Skills, SRLM	Authorized signatory	MoRD: Joint Secretary (Skills) CTSA: Head of skills unit of the organisation PIA: Project head & CEO
Imposition of major penalty	CEO/SRLM or equivalent (who is a level higher than COO/Skills, SRLM)		
Appellate Authority	Minor penalty: CEO/SRLM or equivalent (who is a level higher than COO/Skills, SRLM) Major penalty: Principal Secretary, RD, State Government	Authorized signatory	MoRD: Joint Secretary (Skills) CTSA: Head of skills unit of the organisation PIA: Project head & CEO
Direct imposition of penalty	Minor penalty: CEO/SRLM or equivalent (who is a level higher than COO/Skills, SRLM) Major penalty: Principal Secretary, RD, State Government	Authorized signatory	MoRD: Joint Secretary (Skills) CTSA: Head of skills unit of the organisation PIA: Project head & CEO

* The competent authority from SRLM for handling default procedures for APS should not be below State Project Manager (SPM).

Table 10-5: Competent authority to handling default procedures for YPS

Category	Competent authority of SRLM	Recipient & Respondent of PIA	Copy to: for information

Category	Competent authority of CTSA/ MoRD	Recipient & Respondent of PIA	Copy to: for information
Yellow Alert	Authority to issue & escalate: The person designated to issue such notices from CTSA	Project head	MoRD: Joint Secretary (Skills) SRLM: Head of the organisation PIA: Authorized signatory & CEO
Red Alert	Authority to issue, escalate & close: The person designated to issue such notices from CTSA	Authorized signatory	MoRD: Joint Secretary (Skills) SRLM: Head of the organisation PIA: Project head & CEO
Issue of Show cause notice	Issuing Authority - Joint Secretary (Skills), MoRD	Authorized signatory	CTSA Head of skills unit of the organisation SRLM: Head of the organisation PIA: Project head & CEO
Imposition of minor penalty / Termination of penalty proceedings Imposition of major penalty	Joint Secretary (Skills), MoRD Joint Secretary (Skills), MoRD	Authorized signatory	CTSA: Head of skills unit of the organisation SRLM: Head of the organisation PIA: Project head & CEO
Appellate Authority	For Minor Penalty: Additional Secretary incharge of Skills in MoRD For Major Penalty: Additional Secretary incharge of Skills in MoRD	Authorized signatory	CTSA: Head of skills unit of the organisation SRLM: Head of the organisation PIA: Project head & CEO
Direct imposition of penalty	For Minor Penalty: Joint Secretary (Skills), MoRD For Major Penalty: Additional Secretary incharge of Skills in MoRD	Authorized signatory	CTSA: Head of the organisation SRLM: Head of the organisation PIA: Project head & CEO

SF 10.2A: Monthly Statement of Alerts
<To be printed on CTSA/ SRLM letterhead>
MONTHLY STATEMENT OF ALERTS

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.⁴:
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 Mention latest/revised copy of Sanction Order

4. Office copy

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 No⁵:

Project Details

Sanction Order No.⁶:
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

⁵ Alert to be issued separately for each project, and numbered sequentially for every project
⁶ 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.⁷:

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

⁷ 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 No⁸:

Project Details

Sanction Order No.⁹:

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]¹⁰

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]¹¹

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 action¹² 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

⁸ Alert to be issued separately for each project, and numbered sequentially for every project

⁹ Mention latest/revised copy of Sanction Order

¹⁰ To be used only if Yellow Alert has been issued and Red Alert is an escalation

¹¹ To be used only if PIA has responded to Yellow Alert

¹² Strike out which is not applicable

occurrence/continuance of the default, on or before the 18th of this month. Failure to do so may result in initiation of penalty proceedings.

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.¹³:

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

¹³ 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 No¹⁴:

Project Details

Sanction Order (s) No¹⁵:

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

¹⁴ Alert closure to be issued separately for each project, and numbered sequentially for every project

¹⁵ 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
[Address]

Date:
File No:
Recommendation for Initiation of
Penalty Proceedings No. ¹⁶:

Project Details

Sanction Order No. ¹⁷:
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 satisfactory¹⁸.
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.

¹⁶ Recommendation to be issued separately for each project, and numbered sequentially for every project

¹⁷ Mention latest/revised copy of Sanction Order

¹⁸ Strike out which is not applicable

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

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 Alerts¹⁹

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.

¹⁹ 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 No²⁰:

Project Details

Sanction Order No.²¹:

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 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 in view of the following:
2. You have taken no action/ incomplete action²² 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 default²³ 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.

²⁰ Notice to be issued separately for each project, and numbered sequentially for every project

²¹ Mention latest/revised copy of Sanction Order

²² Strike out which is not applicable

²³ 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 ²⁴

<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.²⁵:

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

²⁴ To be used only if penalty proceedings are not being initiated

²⁵ Mention latest/revised copy of Sanction Order

SF 10.3A: Show Cause Notice
<To be printed on MoRD/SRLM letterhead>
SHOW CAUSE NOTICE

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

Date:
File No:
Show Cause Notice No.²⁶:

Project Details

Sanction Order No.²⁷:
Sanction Order Date:
Project Commencement Date:
State(s) of Operation:

1. This is with reference to the Red (Level 2) Alert number [Red Alert number] dated [date of Red Alert] issued to your organisation under Section 10.2 of the Standard Operating Procedures of the Deen Dayal Upadhyaya Grameen Kaushalya Yojana (DDU-GKY) for default(s) in the implementation of the above mentioned project. A statement of items of default is included in Annexure I.

There has been no response from your organisation to the Red Alert / No corrective action has been taken in response to the Red Alert/ the explanation in response to the Red Alert is not satisfactory (for reasons provided in Annexure II)²⁸.

In view of this a recommendation for initiation of penalty proceedings against your organisation has been received by us. You have been informed of this vide Penalty Recommendation Intimation number [Penalty Recommendation Intimation No] dated [Date of issue of Penalty Recommendation Intimation].

OR

1. This is to inform you that penalty proceedings are being initiated herewith against your organisation by the Ministry of Rural Development, Government of India / State Rural Livelihood Mission of the State of [State Name] for default(s) in project implementation under Section 10.3 of the Standard Operating Procedures of the Deen Dayal Upadhyaya Grameen Kaushalya Yojana (DDU-GKY). A statement of items of default is included in Annexure I.
2. You are hereby called upon and given this notice to show cause in writing, as to why penalty should not be imposed against M/s [Name of PIA], within 25 days of the receipt of this memorandum, failing which the matter will be decided ex-parte.

²⁶ To be issued separately for each project, and numbered sequentially for every project

²⁷ Mention latest/revised copy of Sanction Order

²⁸ Strike out which is not relevant

3. The memorandum and annexures are being emailed to [Name of the Authorised Signatory], [Primary email id for all communication mentioned in SF 3.3A] and may be acknowledged to the email given below. A print version is also being despatched by Registered Post/ Speed Post. The date of receipt of memorandum by your organisation is deemed to be two days after the despatch of email.
4. All communications, including your response to this notice, should be sent by email to the address given below and, in addition, by Registered Post / Speed Post.

[Signature & Seal of Authorized Signatory]

< MoRD/ SRLM >

Address and Email ID

CC: (if issuing authority is MoRD)

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

CC: (if issuing authority is SRLM)

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

Annexure I: Statement of default(s)

The following defaults have occurred in implementation of the project

Sl. No.	Default	Details of evidences, if any
1	2	3

Annexure II²⁹

Reasons for non-acceptance of PIA's explanation for occurrence/continuance of default

Annexure III:

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

Annexure IV:

List of witnesses

²⁹ Applicable only if PIA has been issued Red Alert and has not provided satisfactory explanation for default

SF 10.3B: Response to Show Cause Notice
<To be printed on organisation letter head>
RESPONSE TO SHOW CAUSE NOTICE

To
The Joint Secretary (Skills)/ [SRLM Authorised Person]
Ministry of Rural Development/ [Name of SRLM]
[Address]

Date:
File No:

Project Details

Sanction Order No.³⁰:

Sanction Order Date:

Project Commencement Date:

State(s) of Operation:

1. This is with reference to the Show Cause Notice No. [Show Cause Notice No.] dated [Date of issue of Show Cause Notice] issued to our organisation under Section 10.3 of the Standard Operating Procedures of the Deen Dayal Upadhyaya Grameen Kaushalya Yojana (DDU-GKY).
2. We wish to inform you that we have completed/ taken corrective action with respect to the activities mentioned in your notice by [Date of completion of tasks]. A statement of completion of tasks against the items of default is included in Annexure I along with evidence for the same in Annexure II.

OR

2. We wish to inform you that we will complete/take corrective action with respect to the activities mentioned in your notice by [Proposed date of completion of tasks]. A statement of our plan for completion of tasks against the items of default is included in Annexure I.

OR

2. We wish to inform you that there has been no default by our organisation, for reasons provided in Annexure I.
3. In view of this, we request you to cancel the penalty proceedings initiated against our organisation.

OR

3. We request you to give us an opportunity to make a personal representation to the competent authority against the proposed initiation of penalty proceedings against our organisation.

³⁰ Mention latest/revised copy of Sanction Order

[Signature & Seal of Authorized Signatory]

<PIA>

Address and Email ID

CC:

1. CTSA/ SRLM
2. Joint Secretary (Skills)³¹
3. Office copy

Annexure I: Statement of Default(s)

Sl. No.	Default	Details of evidences, if any	Explanation of PIA	Details of evidences, if any
1	2	3	4	5

Annexure II:

Evidence (including documents, photos, video, audio transcripts) to support claim that there is no default or that action has been taken to address the default.

³¹ Applicable if response is addressed to SRLM authorised person

SF 10.3C: Personal Hearing Intimation

<To be printed on MoRD/SRLM letterhead>

PERSONAL HEARING 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:

Personal Hearing Intimation

No.:

Project Details

Sanction Order No.³²:

Sanction Order Date:

Project Commencement Date:

State(s) of Operation:

Ref 1: Show Cause Notice No. [Show Cause Notice No.] dated [Date of issue of Show Cause Notice]

Ref 2: Response to Show Cause Notice No. [Show Cause Notice No.] dated [Date of PIA responded to Show Cause Notice]

OR

Ref 1: Notice of Imposition of Penalty No. [Notice of Imposition of Penalty No.] dated [Date of issue of Notice of Imposition of Penalty]

Ref 2: Appeal against Penalty from M/s [Name of PIA] dated [Date of Appeal against Penalty]

1. This is with reference to the Show Cause Notice/ Notice of Imposition of Penalty³³ issued to your organisation under Section 10.3 of the Standard Operating Procedures of the Deen Dayal Upadhyaya Grameen Kaushalya Yojana (DDU-GKY).
2. This is to inform you that M/s [Name of PIA] will be given an opportunity for personal hearing to make such representation as your organisation may wish to make against the action proposed in the Show Cause Notice/ Notice of Imposition of Penalty³⁴.
3. The schedule for the personal hearing is as follows:
Date:
Time:
Venue:

³² Mention latest/revised copy of Sanction Order

³³ Strike out which is not relevant

³⁴ Strike out which is not relevant

4. Please note that only the CEO/ Authorised signatory will be allowed to make a personal representation on behalf of the organisation and that no other representative will be given a hearing.
5. Please note that if the CEO/ Authorised signatory of the organisation fails to attend the personal hearing proceedings at the abovementioned time and venue, the matter will be decided ex-parte and no further opportunity for personal representation will be given.
6. The memorandum is being emailed to [Name of the Authorised Signatory], [Primary email id for all communication mentioned in SF 3.3A] and may be acknowledged. The date of receipt of memorandum by your organisation is deemed to be the day after the despatch of the email. A copy is also being sent by Registered/ Speed Post.
7. All communications should be sent by email to the address given below. All documents should in addition be physically despatched by Registered/ Speed Post to the address given below.

[Signature & Seal of Authorized Signatory]

< MoRD/ SRLM>

Address and Email ID

CC: (if issuing authority is MoRD)

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

CC: (if issuing authority is SRLM)

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

**SF 10.3D: Proceedings of Personal Hearing
(To be drafted as per case by MoRD/ SRLM).**

PROCEEDINGS OF PERSONAL HEARING

SF 10.3E: Notice of Imposition of Penalty/ Dropping of Penalty Proceedings

<To be printed on MoRD/SRLM letterhead>

NOTICE OF IMPOSITION OF PENALTY/ DROPPING OF PENALTY PROCEEDINGS³⁵

To	Dated:
[Name of the Authorised signatory of the PIA]	File No:
[Designation of the Authorised signatory of the PIA]	Notice of Imposition of Penalty/ Dropping of Penalty Proceedings No. ³⁶ :
[Name of PIA]	
[Address]	

Project Details

Sanction Order No.³⁷:

Sanction Order Date:

Project Commencement Date:

State(s) of Operation:

Ref 1: Show Cause Notice No. [Show Cause Notice No.] dated [Date of issue of Show Cause Notice]

Ref 2: Response to Show Cause Notice No. [Show Cause Notice No] dated [Date of PIA responded to Show Cause Notice]

OR

Ref 1: Personal Hearing Notice No. [Personal Hearing Notice No.] dated [Date of issue of Personal Hearing Notice]

Ref 2: Proceedings of Personal Hearing dated [Date of issue of Proceedings of Personal Hearing]

1. This is with reference to the Show Cause Notice/ Personal Hearing Notice³⁸ issued to you under Section 10.3.1 of the Standard Operating Procedures of the Deen Dayal Upadhyaya Grameen Kaushalya Yojana (DDU-GKY) and the subsequent personal representation made by you on [date of Personal hearing]³⁹.
2. You are hereby informed that your action and explanation have been accepted and that the penalty proceedings initiated against your organisation are being dropped herewith.
3. You are advised that the penalty proceedings initiated as above are now closed. However, the default(s) will be recorded and counted at the time of performance assessments.
4. 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.

³⁵ Strike out which is not relevant

³⁶ Strike out which is not relevant

To be issued separately for each project, and numbered sequentially for every project

³⁷ Mention latest/revised copy of Sanction Order

³⁸ Strike out if personal hearing notice is not issued

³⁹ Strike out if no personal representation is made

OR

1. This is with reference to the Show Cause Notice/ Personal Hearing Notice⁴⁰ issued to you under Section 10.3.1 of the Standard Operating Procedures of the Deen Dayal Upadhyaya Grameen Kaushalya Yojana (DDU-GKY) and/or the subsequent personal representation made by you on [date of Personal hearing]⁴¹.
2. After considering all the facts and circumstances, the competent authority has decided to impose a Minor/ Major Penalty on M/s [Name of PIA] as per the details given below:

Nature of Penalty: (Major/ Minor)	
Details of Penalty Imposed	
Reasons for Penalty Imposition	
Process of Implementation of Penalty	
Action to be taken by PIA	
Date by which action to be taken by PIA	

3. You are hereby informed that if your organisation wishes to appeal against the penalty then an appeal can be filed to the appropriate Appellate Authority as per SF 10.1B within 20 days of receipt of this notice.
4. The appeal will be entertained only in compliance of the form of the terms of this order:
 - a. _____
 - b. _____
 - c. _____
5. The memorandum is being emailed to [Name of the Authorised Signatory], [Primary email id for all communication mentioned in SF 3.3A] and also being sent to your organisation by Registered/ Speed Post. The date of receipt of this memorandum will be deemed to be two days after the despatch of the mail.
6. All communications should be sent by email to the address given below along with physical despatch of documents to the address given below.

[Signature & Seal of Authorized Signatory]

⁴⁰ Strike out which is not relevant

⁴¹ Strike out which is not relevant

< MoRD/ SRLM>

Address and Email ID

CC: (if issuing authority is MoRD)

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

CC: (if issuing authority is SRLM)

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

Annexure I: Statement of Default(s)

Sl. No.	Default	Details of evidences, if any	Explanation of PIA	Details of evidences, if any	CTSA comments	Details of evidences, if any	Decision of Penalty Imposing Authority
1	2	3	4	5	6	7	8

SF 10.3F: Request for Closure of Penalty Proceedings
<To be printed on organisation letter head>
REQUEST FOR CLOSURE OF PENALTY PROCEEDINGS

To
The Joint Secretary (Skills)/ [SRLM Authorised Person]
Ministry of Rural Development/ [Name of SRLM]
[Address]

Date:
File No:

Project Details

Sanction Order No.⁴²:
Sanction Order Date:
Project Commencement Date:
State(s) of Operation:

1. This is with reference to the Notice of Imposition of Penalty No. [Notice of Imposition of Penalty No.] dated [Date of Notice] issued to our organisation under Section 10.3 of the Standard Operating Procedures of the Deen Dayal Upadhyaya Grameen Kaushalya Yojana (DDU-GKY).
2. We wish to inform you that we have complied with the terms of the Penalty Imposition Notice by taking appropriate action. Evidence of compliance is enclosed.

OR

1. This is with reference to the Decision on Appeal against Penalty No. [Decision on Appeal against Penalty No.] dated [Date of Decision] received by our organisation under Section 10.3 of the Standard Operating Procedures of the Deen Dayal Upadhyaya Grameen Kaushalya Yojana (DDU-GKY).
2. We wish to inform you that we have complied with the terms of the Decision on Appeal by taking appropriate action. Evidence of compliance is enclosed.
3. In view of this, we request you to close the penalty proceedings initiated against our organisation.

[Signature & Seal of Authorised Signatory]

<PIA>

Address and Email ID

CC: (if request being sent to MoRD)

1. CTSA
2. SRLM

CC to: (if request being sent to SRLM)

1. CTSA
2. Joint Secretary (Skills), MoRD

⁴² Mention latest/revised copy of Sanction Order

SF 10.3G: Notice of Closure of Penalty Proceedings
<To be printed on MoRD/ SRLM letterhead>
NOTICE OF CLOSURE OF PENALTY PROCEEDINGS

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 (s) No⁴³:
Sanction Order Date:
Project Commencement Date:
State (s) of Operation:

Ref: Request for Closure of Penalty Proceedings No.: [Request for Closure of Penalty Proceedings No.] dated [Date of Request for Closure of Penalty Proceedings]

1. This is with reference to your request for closure of the penalty proceedings initiated against your organisation on the basis of which a penalty was imposed vide Notice of Imposition of Penalty dated [Date of issue of Notice of Imposition of Penalty] and which was confirmed/modified in appeal as per Decision on Appeal against Penalty [Decision on Appeal against penalty No. and date]⁴⁴.
2. In view of your compliance with the said Notice/ decision of the Appellate Authority⁴⁵, you are hereby informed that the penalty proceedings initiated as above are now closed. However, the default(s) will be recorded and counted at the time of performance assessments.
3. You are hereby advised to comply fully in future with all the norms for project implementation specified in the Standard Operating Procedures of the Deen Dayal Upadhyaya Grameen Kaushalya Yojana (DDU-GKY). Any further default will be viewed seriously and liable for penal action.

[Signature & Seal of Authorized Signatory]

< MoRD/ SRLM >

Address and Email ID

CC: (if issuing authority is MoRD)

1. Chief Executive Officer & Project Head

⁴³ Mention latest/revised copy of Sanction Order

⁴⁴ Strike out which is not relevant

⁴⁵ Strike out which is not relevant

2. CTSA
3. SRLM

CC: (if issuing authority is SRLM)

1. Chief Executive Officer & Project Head
2. CTSA
3. Joint Secretary (Skills)

SF 10.3H: Appeal against Penalty
<To be printed on organisation letter head>
APPEAL AGAINST PENALTY

To
The Additional Secretary (Skills)/ [SRLM Authorised Person]
Ministry of Rural Development/ [Name of SRLM]
[Address]

Date:
File No:

Project Details

Sanction Order No.⁴⁶:

Sanction Order Date:

Project Commencement Date:

State(s) of Operation:

1. This is with reference to the Notice of Imposition of Penalty No. [Notice of Imposition of Penalty No.] dated [Date of issue of Notice of Imposition of Penalty] issued to our organisation under Section 10.3 of the Standard Operating Procedures of the Deen Dayal Upadhyaya Grameen Kaushalya Yojana (DDU-GKY).
2. We have complied with the terms of the abovementioned Notice. Evidence for this is included in Annexure I.
3. We wish to appeal against the penalty imposed and request a personal hearing by the Appellate Authority to present our appeal.

[Signature & Seal of Authorized Signatory]
<PIA>

Address and Email ID

CC: (if sending to MoRD)

1. CTSA
2. SRLM

CC: (if sending to SRLM)

1. CTSA
2. The Joint Secretary (Skills)

Annexure I

Statement of Default(s)

⁴⁶ Mention latest/revised copy of Sanction Order

[illegible]

SF 10.3I: Decision on Appeal against Penalty

<To be printed on MoRD/ SRLM letterhead>

DECISION ON APPEAL AGAINST PENALTY

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.⁴⁷:

Sanction Order Date:

Project Commencement Date:

State(s) of Operation:

Ref 1: Notice of Imposition of Penalty No. [Notice of Imposition of Penalty No.] dated [Date of issue of Notice of Imposition of Penalty]

Ref 2: Appeal against Penalty dated [Date of issue of Appeal against Penalty]

Ref 3: Personal Hearing Notice No. [Personal Hearing Notice No.] dated [Date of issue Personal Hearing Notice]

Ref 4: Proceedings of Personal Hearing dated [Date of issue of Proceedings of Personal Hearing]

1. This has reference to the penalty imposed on your organisation for default(s) in project implementation under section 10.3 of the Standard Operating Procedures of the Deen Dayal Upadhyaya Grameen Kaushalya Yojana, and the subsequent hearing of your appeal against the said penalty.
2. We have considered all the facts and circumstances of the case and wish to inform you that the penalty imposed against your organisation has been cancelled herewith.
3. You are hereby informed that the default(s) will be recorded and counted at the time of performance assessments.
4. You are 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.

OR

1. This has reference to the penalty imposed on your organisation for default(s) in project implementation under section 10.3 of the Standard Operating Procedures of the Deen Dayal Upadhyaya Grameen Kaushalya Yojana, and the subsequent hearing of your appeal against the said penalty.

⁴⁷ Mention latest/revised copy of Sanction Order

2. We have considered all the facts and circumstances of the case and wish to inform you that we have taken the decision to uphold/ modify the penalty imposed on your organisation.
3. Details of upheld/ modified penalty are as follows:

Nature of Penalty: (Major/ Minor)	
Details of Penalty Imposed	
Reasons for Penalty Imposition	
Process of Implementation of Penalty	
Action to be taken by PIA	
Date by which action to be taken by PIA	

4. You are hereby advised to comply with the above order within [Days in Number]⁴⁸ days of receipt of this memorandum along with evidence of compliance. Any failure in this regard is likely to result in penal action against your organisation.
5. The memorandum is being emailed to [Name of the Authorised Signatory], [Primary email id for all communication mentioned in SF 3.3A] and also being sent to your organisation by Registered/ Speed Post. The date of receipt of this memorandum will be deemed to be two days after the despatch of the mail.
6. All communications should be sent by email to the address given below along with physical despatch of documents to the address given below.

[Signature & Seal of Authorized Signatory]

< MoRD/ SRLM>

Address and Email ID

CC: (if issuing authority is MoRD)

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

CC: (if issuing authority is SRLM)

1. Chief Executive Officer & Project Head
2. CTSA
3. The Joint Secretary (Skills)

⁴⁸ Days will be as per discretion of Appellate Authority

Statement of Default(s)

[illegible]

1.10 ENTERPRISE RESOURCE PLANNING (ERP) PLATFORM AND INTERIM ARRANGEMENTS

The proposed IT architecture for DDU-GKY will be as follows:

- All the entities in the system like PIAs, State govt., CTSA and MoRD will have IT systems for monitoring the projects
- Primary data entry with reference to PIA project operations will be done from PIA system. Similarly, any data requirements from CTSA and state govt. will be done in their respective systems.
- Project monitoring will be done from a designated central system to be designated by MoRD and data integration mechanisms with other systems will be specified by MoRD.

The central system, referred as ERP system of DDU-GKY or simply the ERP system, will be the nerve centre for monitoring projects.

1.11 CENTRAL MONITORING CENTRE (CMC)

PIAs, SRLMs and CTSA should have a Central Monitoring Centre (CMC) at an appropriate location - their strategic/operational headquarters being usually the appropriate. It should have regular monitoring and controlling mechanism to ensure quality of project implementation such as counselling of candidates, ensuring proper documentation, quality of training delivery, equipment availability and maintenance, review of daily failure report at the centre, trainers' assessment, candidates' assessment and certification, timely payment of candidate's entitlements and address candidates grievances. Further ensure timely placement, tracking and also address problems associated with candidate transition to work spots. It is suggested that the CMC should have latest facilities to monitor centrally the CCTV footages. a call centre to get feedback and monitor the project health and other central monitoring tools.

Annexure III

SF 3.3A: Project execution readiness assessment at Project Headquarter

The form will be designed and implemented in the ERP system and till then the form given below may be used. The form will be available on the ERP system to be filled and monitored online. A print version is given below:

1. Name of the project implementing Agency: (auto filled by system)
2. Project code: (auto filled by system)
3. Project Headquarter⁴⁹ along with address
4. Address for all official communication (preferably same as state office address or PIA if wants a different address the same can be indicated here.)
5. Primary recipient email id for all communication⁵⁰:
6. Organisation management team

Sl. No	Designation	Name	Email id	Contact no.
1.	Project head (Organization level)			
2.	Finance head (Organization level)			
3.	Authorised signatory			
4.	CEO			
Note: Same individual may hold one or more designations				

7. Heads of core project functions

S. No.	Functionary	Employee details			DDU-GKY training details		
		Id	Name	Date of appointment	Id	Date of training	Certificate details
1.	Project head*						
2.	'Q' team head						
3.	Finance head**						
4.	MIS head						

⁴⁹ Project Headquarter must be opened in the sanctioned State

⁵⁰ All email communication will be sent to this id.

- Note: 1. * If Project head (Organization level) holds the position of Project head, then please repeat the name
2. ** If Finance head (Organization level) holds the position of Finance head, then please repeat the name
3. All finance related communication will be accepted only from one of the functionary below:
- Finance head
 - Finance head (Organization level)
 - Project head (Organization level)
 - Authorised signatory
- CEO
 - Individual nominated by Authorised signatory/CEO
4. All project related (non finance) information will be accepted only from the designation below unless specified explicitly:
- Project head
 - Project head (Organization level)
 - Authorised signatory
 - CEO
 - Individual nominated by Authorised signatory/CEO
5. The functional heads must compulsorily be in place before a project is initiated.
6. Appointment letter should be uploaded to the web-link
7. DDU-GKY training certificate should be uploaded on to the web-link

8. Other Q team members

a. Existing

Sl. No.	Employee details			DDU-GKY training details		
	Id	Name	Date of appointment	Id	Date of training	Certificate details

b. To be recruited

Additional number to be recruited	
Start date of recruitment	
End date of recruitment	
Note; Indicative plans to be given here.	

9. Manpower details (other than Q team):

Project operations team	Existing	To be recruited	Total
Placement			
Master Trainers			
Trainers for each of the proposed trades (use as many rows the number of trades)			
English skills			
Computer skills			
Soft skills			
Centre in charges			
Regional coordinators			
Post Placement tracking head			
Mobilisation			
Finance			
MIS			
Note: The number should match with the minimum prescribed for the project as per size			

10. Did the PIA ensure ring fencing of PIA Q team from operations team and comply with SF 3.10C (without complying with these conditions the project cannot be commenced)

YES ☐ NO ☐

11. Are course curriculum aligned with NCVT/SSC/MoRD?

S. No	Module/trade*			Is it trade for which certificate is to be issued? (Yes/No)	NSQF level, applicable for primary trade	Aligned to NCVT/SSC	Hours of training for the course (for all modules/trades put together under a trade) **	Remarks
	Name	Code	Hours					

<p>Note: *If it is under NCVT, MES course number should be mentioned along with total hours of training. If it is under SSC, NOS QP code should be mentioned along with hours of training. Copies of curriculum should be uploaded and also shared along with the document. As some SSC's do not provide course curriculum the PIA should get the course curriculum (repeat only course curriculum) approved by an SSC accredited assessment agency.</p> <p>**In both cases the training hours should be equal the hours specified for the courses less the hours earmarked for non-domain training.</p>								

12. Availability of different forms to initiate the project

- Registration form for mobilized candidates YES ☐ NO ☐
- Tools for trade wise screening of the candidates YES ☐ NO ☐
- Entitlement form YES ☐ NO ☐
- Parent consent form YES ☐ NO ☐
- Feedback form YES ☐ NO ☐
- Trade wise activity cum lesson planner YES ☐ NO ☐
- Trade and batch wise enrolment form YES ☐ NO ☐
- Template for various boards YES ☐ NO ☐

13. Outsourcing of activities

Outsourced core activities as per application

Name of the Activity	Agency name	Is it same as given in the application	Details of agreement – areas covered and periods (copies to be uploaded)
Training			
Placement			

Outsourcing of non-core activities

Activity	Is it outsourced Yes/No	Agency	Details of agreement – areas covered and periods (copies to be uploaded)
Mobilization			
Selection & screening of candidates			
Tracking			
Others			

The representative of TSA will have an interactive session with the core project team of the PIA. During the session, the PIA team should engage actively to develop an overall understanding of project implementation.

Signature of project head

Nominated representatives for the project from SRLM and CTSA

Agency	Name	Designation	Email	Phone
SRLM				
CTSA				

Signature of representative
SRLM for APS/CTSA for YPS

Note for online deployment of the form:

1. PIA will upload the form
2. CTSA/SRLM will validate the data filled by PIA after visit to the project Headquarter followed by review as per the timelines as prescribed in the process

SF 3.3A1: Project execution readiness assessment at PIA Headquarter

The form will be designed and implemented in the ERP system and till then the form given below may be used.

To be validated and reviewed by SRLM/CTSA

S. No.	Description	Status (Yes/No)	Proof	Remarks
1.	Is there an Organisational Structure in place, dedicatedly addressing all the following –			
	a) MIS & Planning			
	b) IEC			
	c) Content Development			
	d) Operations			
	e) Placement			
	f) Call Centre for Tracking/Validation			
	g) ERP & IT Support			
	h) Quality Assurance			
	i. Infra & documentation			
	ii. Faculty training			
	iii. SOP training & certification			
	iv. CCTV monitoring			
	i) HRM			

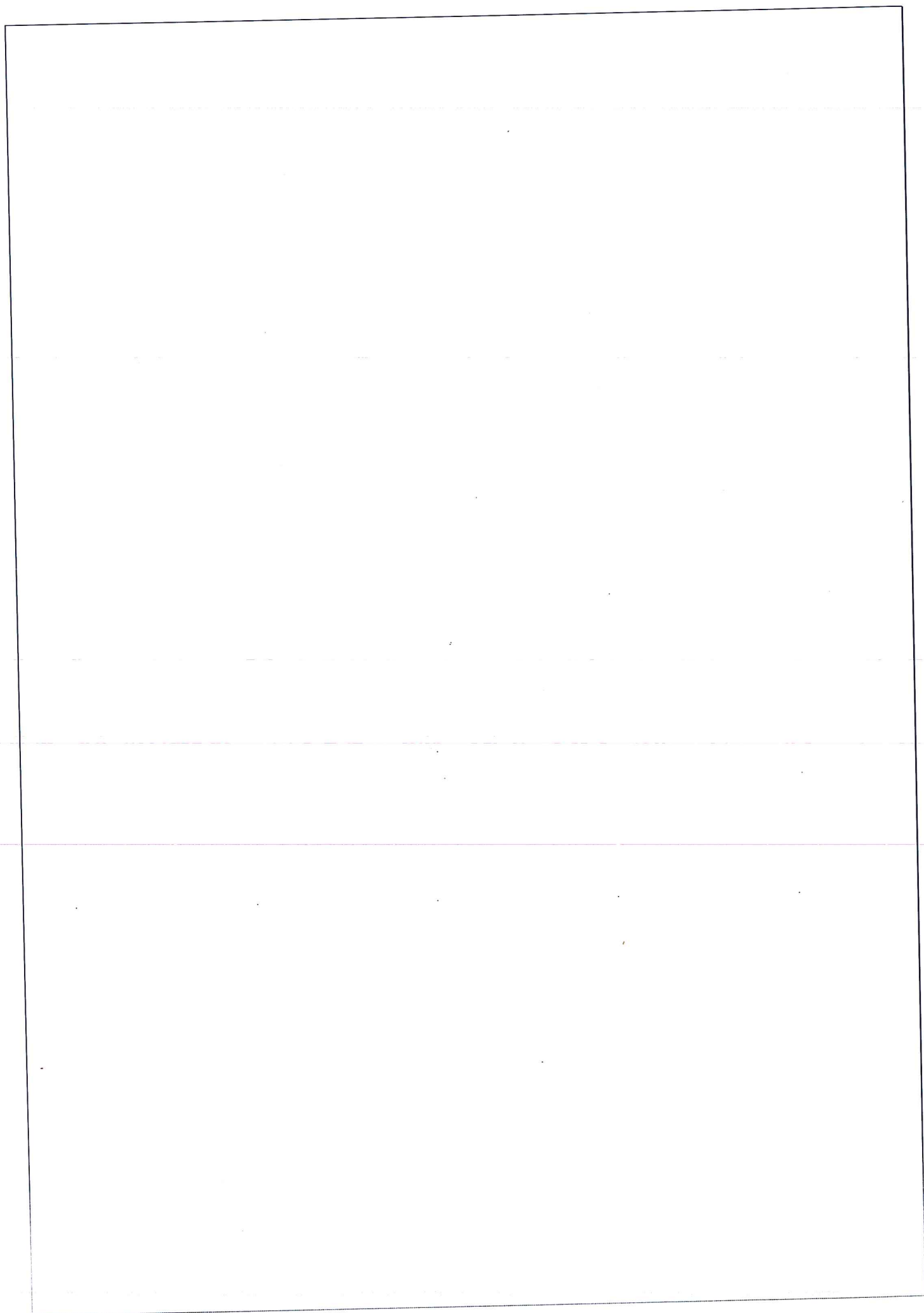
S. No.	Description	Status (Yes/No)	Proof	Remarks
	j) Fin & Accts			
2.	Are the Job Descriptions defined for all key job roles in the organisation?			
3.	Are Job Specifications (hiring requirements) defined for each key Job Role?			
4.	Have all key personnel been hired as per the Job Specifications for each job role?			
5.	Are all the personnel aware of their roles and responsibilities and their understanding of their job is consistent with their Job Description			
6.	Have all personnel deployed on the DDU GKY program undergone a reasonable induction/orientation program explaining the following –			
	i. Organisation values, goals, processes etc.			
	ii. Details of DDU GKY project			
7.	Have all personnel, deployed on the project been trained and certified on the DDU GKY SOP			
8.	Is the bilingual training content and TLM available for all courses conducted by the PIA including IT, English and Soft skills			

S. No.	Description	Status (Yes/No)	Proof	Remarks
9.	Is there evidence of the training content and TLM being industry accepted and regularly updated			(SMEs and instructional designers involved in developing the content or it is from a recognised/reputable institute like NIMI)
10.	Does the training content include different training aids/methodologies like PPTs, audio/visual content, practical demonstrations, mock exercises, routine tests etc.			
11.	Has the training content and TLM been updated with contemporary industry practices and statutory requirements.			
12.	Are there Basic Qualification criteria laid down for each type of faculty required and are these criteria consistent with relevant NCVT/SSC norms			
13.	Are all hired trainers meeting the laid down qualification criteria			
14.	Have all trainers undergone a formal facilitation skills program and do they have a recognised certificate for the same.			
15.	Is there are a regular Trainer development program conducted by the organisation to keep their skills contemporary			

S. No.	Description	Status (Yes/No)	Proof	Remarks
16.	Is there a functional ERP for managing the entire life cycle of a Trainee available and working in the organisation			In absence of an ERP (for small organisations), is there an alternate system of data collection and analysis available and working in the organisation
17.	Is the ERP, or alternate data collection tool, being regularly used and updated with live data everyday			
18.	Is the ERP generating exception reports showing important areas of non-compliance or lag in project, for the senior management			
19.	Are such exception reports being viewed seriously and timely action taken by concerned people			
20.	Are extraordinary achievements of the team which help in program deliverables, being highlighted by the ERP and rewarded appropriately by the management			
21.	Has regular internal and external assessment of students been institutionalised into the DNA of the organisation			
22.	Is additional effort being made to track and upgrade the skills of weak students			

S. No.	Description	Status (Yes/No)	Proof	Remarks
23.	Is the CCTV footage with good audio and video quality regularly available from Training centres			
24.	Is there a system in place to monitor CCTV footage for quality of critical parameters			
25.	Is CCTV footage being regularly monitored by a team/Master Trainers for evaluation of training quality			Is evidence of the same available through records.
26.	Are instances of poor quality/lapses in infrastructure/attendance being brought to the notice of the senior management			
27.	Is corrective action being taken on such reports/lapses observed through CCTV monitoring and follow up review happening to ensure compliance.			
28.	Is there a dedicated Placement team headed by a fairly senior person dedicated to this activity			
29.	Is the placement team regularly meeting employers to capture requirements of manpower including feedback of trained and previously placed candidates			
30.	Is the feedback from employers regularly incorporated into the training regime			
31.	Are the placement targets being met – if not, what corrective action is being			

S. No.	Description	Status (Yes/No)	Proof	Remarks
	taken			
32.	Is the placement team regularly meeting placed candidates to identify their pain areas/obtain their feedback			
33.	Is the placement team providing any post placement support to ensure better retention of candidates after placement			
34.	Does the PIA have a regular call centre to monitor placements and keep track of placed candidates			
35.	Are there records/evidence available of regular placement validation activity and is the placed candidates data updated			
36.	Is there a formal mechanism for regular review of the program at the Head office level chaired by the CEO?			



4.7 OUTLINE OF ASSESSMENT AND CERTIFICATION

PIA will have to conduct internal and external assessment of the candidates. The process for internal and external assessment and certification are detailed below:

4.7.1 Internal and formative assessment and course completion certification**Overview**

Item	Description
Purpose	Outline procedures for internal assessment and course completion certification of candidates
Reference Guidelines to	Para 3.2.2.2.3, page 29
Prerequisite/s	Admission of a candidate to a batch
Time completion for	Continuous during the training
Resource/s	SF 4.7A: Common instruction for Internal and external assessment; certification of candidates and SF 4.7A1: Formative assessment of candidate
Process owner	PIA OP team

Activities

Actor	Action	Time for completion	Relevant Documents
PIA OP team	<ul style="list-style-type: none"> Hold tests, save the tests in candidates' personal dossier and upload them to ERP. 	To be done continuously	SF 4.7A: Common instruction for Internal and external assessment; certification of candidates
	<ul style="list-style-type: none"> Issue course completion certificate to all candidates 	At the end of each batch	

Actor	Action	Time for completion	Relevant Documents
Trainers of PIA	<ul style="list-style-type: none"> Conduct formative assessment of candidates on Attitudes, Skills and Knowledge (ASK) 	Every fortnight	SF 4.7A1: Formative assessment of candidate
PIA Q team/Academic committee of PIA	Internal assessments: Verify <ul style="list-style-type: none"> CCTV samples of tests being conducted on the examination process Retest candidates and compare performance Verify formative assessment report of the candidates 	As per inspection schedule. For internal assessments - Check randomly selected candidates and randomly selected videos during a centre visit. Inspect videos of assessment process on the first visit after the batch is trained.	SF 4.7A and 5.2A: Training centre inspection SF 4.7A1
For APS			
SRLM	<ul style="list-style-type: none"> Same checks as Q team but on a different set of randomly selected candidates. To verify randomly generated samples verified by PIA Q team including the inspection notes and compliance to the PIAs Q team observations. Verify formative assessment report of the candidates 	As per inspection schedule	SF 4.7A and 5.2A SF 4.7A1
CTSA	<ul style="list-style-type: none"> Check on Q team and SRLM reports Verify formative assessment report of the candidates 	As per inspection schedule	SF 4.7A and 5.2A SF 4.7A1
For YPS			
CTSA	Same checks as Q team but on a different set of randomly selected candidates. In addition, check one randomly selected candidate from amongst the candidates verified	As per inspection schedule	SF 4.7A and 5.2A

Item	Description
Resource/s	SF 4.7A: Common instruction for Internal and external assessment; certification of candidates, SF: 4.7B: Instructions for online application for accreditation and affiliation (SSC) / testing centre (NCVT) and SF 4.7C: External assessment certificate report
Process owner	PIA OP team

Activities

Actor	Action	Time for completion	Relevant documents
Accreditation and affiliation for training centres based on course ⁵¹ for SSC/NCVT			

⁵¹ Course is the primary trade in which the candidates will be certified. A centre has to be accredited and affiliated under the primary trade.

Actor	Action	Time for completion	Relevant documents
PIA	For SSC		SF: 4.7B: Instructions for online application for accreditation and affiliation (SSC) / testing centre (NCVT)
	Apply for accreditation of training centre for a job role to NSDC/SSC on the designated web link	Before due diligence of the centre for a trade	
	Obtain affiliation from SSC	By uploading training centre information on the ERP (Normally it takes almost 30 days to complete the affiliation)	
	For NCVT		
	Application for Testing centre to concerned RDAT	Within 3 days of due diligence approval by SRLM /CTSA	
	Obtain approval of testing centre	Within 10 days of application	
External Assessment of candidates (applicable for both SSC and NCVT trades)			
PIA OP team	Apply with complete details of a batch to be assessed along with payment for assessment fee to SSC/NCVT and proof of payment to be uploaded on ERP	Within 5 days of batch freezing 10 days before the date of assessment	SF: 4.7B: Instructions for online application for accreditation and affiliation (SSC) / testing centre (NCVT)
	Obtain confirmation about	Assessment has to be done within 10 days of	

Actor	Action	Time for completion	Relevant documents
	<p>assessment date and logistics required to conduct assessment and assessment date to be uploaded on ERP</p> <p>Conduct assessment through SSC/NCVT empanelled assessor</p> <p>To ensure capture and storage of complete assessment of each batch</p>	<p>completion of batch (If candidates have OJT PIA has an option to complete the assessment either before or after the OJT. This should be indicated in the lesson planner).</p> <p>As per the assessment</p>	<p>SF 5.2B: CCTV - Specifications, location and recording, review and storage of chapter 5</p>
PIA Q Team	To review CCTV footages of assessment as per the instruction given in SF 5.2A: Training centre inspection	As per the inspection schedule	SF 5.2B: CCTV - Specifications, location and recording, review and storage of chapter 5
SRLM/CTSA	To review CCTV footages of assessment as per the instruction given in SF 5.2A: Training centre inspection	As per the inspection schedule	SF 5.2B CCTV - Specifications, location and recording, review and storage of chapter 5
Certification of candidate (applicable for both SSC and NCVT)			

Actor	Action	Time for completion	Relevant documents
SSC/NCVT	Upload the result in their own website or share the information with PIA	Within 10 days of assessment completion of a batch	SF 4.7C: External assessment certificate report
	Assessment Certificates to be issued to the PIA	Within 45 days from completion of assessment	
PIA OP team	Upload certificate details on ERP and distribute certificate to the candidates	Within 7 days of receipt of certificate	SF 4.7C: External assessment certificate report
PIA Q team	Verify complete certificate details updated for the candidates on ERP	As per the inspection schedule	SF 4.7C: External assessment certificate report
SRLM for APS and CTSA for YPS	Cross-verify Q team report with certificate details updated for the candidates on ERP	As per the inspection schedule	SF 4.7C: External assessment certificate report
CTSA for APS	Cross-verify SRLM report on with certificate details updated for the candidates on ERP	As per the inspection schedule	SF 4.7C: External assessment certificate report
<p>Note: * If certificate is not issued by SSC/NCVT within 45 days from completion of assessment, PIA has to escalate the issue to SRLM at State level and MoRD at central level. All delays will be consolidated and taken up with SSC/NCVT.</p>			

SF 4.7A: Common instruction for Internal and external assessment; certification of candidates

Internal assessment protocol

Schedule for Internal assessment for a 3 month programme is as follows;

Two fortnightly tests after completion of 15 and 45 days of training

Two monthly tests after completion of 30 and 60 days of training

One pre final test around 10 days before the final assessment by an external agency accredited with NCVT/SSC.

The days when tests are to be conducted are indicative but can vary as per the lesson plan and this has to be indicated in SF 4.5A: Activity cum lesson planner

In addition, surprise quizzes can be held for continuous assessment and feedback

Note: If OJT is part of the training the PIA has freedom to complete the assessment schedule before or after the OJT. However, PIA has to indicate the same in activity cum lesson planner of Chapter 4

All internal assessments, both theory and practical, will be captured on CCTV

Video footage will be viewed during inspection schedules by PIA Q team, SRLM and CTSA.

Attendance in the internal assessment tests is compulsory.

The number of tests for courses of other duration will increase proportionately.

External assessment protocol

It is to be ensured that all the eligible candidates appear for external assessment. At least 70% of trained candidates should clear the external assessment test and become eligible for certification by NCVT/SSC. PIA should provide another chance to the failed candidates to appear for assessment test at its own cost.

Success in external assessment will be used as a criterion for 2nd, 3rd, 4th and final instalment release as specified in SF 3.4B: Decision rules for release of 2nd, 3rd, 4th and final instalment in Chapter 3 and also for grading of the PIA as per chapter 9.

Candidates who are not eligible for certification as per rules of the certifying body (NCVT/SSC) should also be assessed. The assessment should be conducted by agencies empanelled with NCVT/SSC and follow the same assessment procedure as followed for assessment of NCVT/SSC candidates. If these candidates clear the assessment test PIA should arrange certification from the assessment body. This will be of help to the candidates in their future endeavours.

The assessment has to be captured on the CCTV. It will be reviewed when the next batch is inspected.

Note: If OJT is part of the training the PIA has freedom to complete the external assessment before or after the OJT. However, PIA has to indicate the same in activity cum lesson planner of Chapter 4

Certification protocol

For issue of certificates 4 categories of candidates will emerge based on two criteria: i) Whether a candidate has eligibility criteria prescribed by NCVT/SSC and ii) Has a candidate cleared the assessment test. The 4 categories and the action to be taken is given in the Table below.



If a candidate fulfils both the criteria (Category 1 in the Table) PIA has to ensure that a certificate from NCVT/SSC is issued. If the candidate clears the assessment test but is not eligible as per criteria fixed by NCVT/SSC (Category 2 in the Table) he will get a certificate from the assessing body. In all the cases including category 3 and 4, candidates should get a course completion certificate to be issued by the PIA in the prescribed proforma of Annexure 4.7A(i) and Annexure 4.7A(ii).

		Has a candidate cleared the assessment test?	
		Yes	No
Whether a candidate has eligibility criteria prescribed by NCVT/SSC?	Yes	Category 1 Will get the certificate from NCVT/SSC	Category 3 Only course completion certificate from PIA
	No	Category 2 Will get certificate from assessing body	Category 4 Only course completion certificate from PIA as per annexure-4.7A(i) for DDU-GKY and 4.7A(ii) for Roshni



Distribution of certificates

Certificate should either be handed over to the candidates in person or sent by registered post to their residential address. Record of acknowledgement or proof of dispatch to be maintained at centre.

Annexure 4.7A(i)

 सत्यमेव जयते	 Deen Dayal Upadhyaya Grameen Kaushalya Yojana Empowering India • Powering the World	State Emblem
Certificate No.: _____		
<h3>Certificate of Proficiency</h3> <p>in _____ (Sector)</p>		
This is to certify that Ms./ Mrs./ Mr. _____		
Daughter/ Son/ Wife of _____ has completed 576 (Five Seven Six) hours of training as per SSC/NCVT Course Curriculum (for SSC mention NSQF level & for NCVT mention level) in _____ (Name of Trade), from (Date) _____ to (Date) _____ with PIA Name under Deen Dayal Upadhyaya Grameen Kaushalya Yojana (DDU-GKY).		
Candidate ID No: _____	Date: _____	<div style="border: 1px solid black; width: 100px; height: 40px; margin: 0 auto;"></div> PIA Logo
		Signing Authority (Seal and Sign) PIA Name (Address)

Annexure 4.7A(ii)

 सत्यमेव जयते	 Deen Dayal Upadhyaya Grameen Kaushalya Yojana Empowering India • Powering the World	State Emblem
<i>Roshni</i>		
Certificate No.: _____		
<h3>Certificate of Proficiency</h3> <p>in _____ (Sector)</p>		
This is to certify that Ms./ Mrs./ Mr. _____		
Daughter/ Son/ Wife of _____ has completed 576 (Five Seven Six) hours of training as per SSC/NCVT Course Curriculum (for SSC mention NSQF level & for NCVT mention level) in _____ (Name of Trade), from (Date) _____ to (Date) _____ with PIA Name under Roshni initiative of Deen Dayal Upadhyaya Grameen Kaushalya Yojana (DDU-GKY).		
Candidate ID No: _____	Date: _____	<div style="border: 1px solid black; width: 100px; height: 40px; margin: 0 auto;"></div> PIA Logo
		Signing Authority (Seal and Sign) PIA Name (Address)

General rules:

Regarding Training Duration, PIA use training hours (with hrs. in word) according to 3 months/ 6 months/ 9 months/ 12 months as given below:

For 3 months: 576 (Five Seven Six)

For 6 months: 1152 (One One Five Two)

For 9 months: 1728 (One Seven Two Eight)

For 12 months: 2304 (Two Three Zero Four)

In Final Certificate don't mention Words which are in '()'; those are for information purpose.

Colour Code Combination: Notification. 31.2014

For A4 Size Page: India Emblem and State Emblem size 2.65 x 1.88 cm

For A4 Size Page: PIA Logo size permissible maximum 2.5 x 5 cm

SF 4.7A1: Formative assessment of candidate

S · N O ·	Factors	Description of factor	Weightag e
	Skill		40
1	Domain skills	Ability to carry out a task with pre-determined results and to the satisfaction of customers, often within a given amount of time, energy, or both	30
2	Verbal & communication	Ability to listen and understand, to read aloud and summarize (e.g. newspapers), and to effectively communicate thoughts	5
3	Basic computer and internet operational skills	Ability to navigate computer and operate tools: Windows, Microsoft Word, Microsoft Excel, PowerPoint, Outlook Express or another email program, Windows Share Folders or other programs for sharing information.	5
	Knowledge		60
4	Domain knowledge	Thorough knowledge about the skill - what it is, what customers are looking for, how to do it, why it is required, how to delight customers	40
5	IT knowledge	Knowledge about how to use computer, Microsoft Office, Tablet PC and browse the internet to make work easier	5
6	English	Knowledge of grammar, vocabulary and domain jargon in English language	5
7	Numeracy and logical reasoning	Ability to understand and work with numbers, and to solve problems based on rational, systematic series of steps	5
8	Other: General knowledge, financial literacy,	General knowledge Financial literacy: Knowledge of finance such as PF, ESI, etc.	5
	Rights & responsibilities	Knowledge of rights and responsibilities as citizen and as DDU-GKY candidate (including post-placement benefits)	

	Factors	Description of factor
	Attitude	<i>Guidance note to identify areas where candidate is strong and areas that candidate needs to develop, to improve his chances to progress in career.</i>
1	Punctuality	The fact of doing things at the agreed or correct time and not being late, such as candidates attends training regularly and on time.
2	Diligence & hard work	Careful and thorough work or effort towards his/ her goals
3	Confidence	A belief in own ability to do things and be successful; with confident posture (straight, eye contact, strong handshake) and not afraid to speak out or make mistakes
4	Team spirit	Quality of working well as a member of a team, collaborating with others and helping them as needed
5	Leadership & initiative	The ability to be a leader or the qualities a good leader should have such as ability to take decisions, negotiate, etc.
6	Etiquette and politeness	The customary code of polite behaviour at work and in society, including hygiene, cleanliness, respect for all irrespective of caste, gender or age
7	Quality consciousness	The attitude of seeking to improve quality of service and product constantly to delight customers, rather than just to meet a certain set goal.
8	Adaptability	The quality of being able to change or be changed in order to deal successfully with new situations, with optimism
9	Integrity & values	The quality that somebody has that makes people believe or trust them. This comes from the 'the quality of being honest and having strong moral principles'.
10	Curiosity	A strong desire to know or learn, and proactively takes steps to increase skill and knowledge
	<i>Note to Trainer: Candidate's Strengths and Development opportunities can be identified based on attitude and participation in classroom and extra-curricular activities (such as carom, table tennis, volleyball, running, kho-kho, rope-pulling, football, cricket, quizzes, debates, open-mic, other)</i>	

References:

Factors under 'attitude' based on existing research and surveys on what employers look for (<https://wheebox.com/WEST.htm>) and conversations with employers

Sample Trainee Report – Assessment 1				
	Assessment 1	Assessment 2	Assessment 3	Assessment 4
Skill				
Domain skills	55%			
Verbal & communication	40%			
Basic computer and internet operational skills	60%			
Knowledge				
Domain knowledge	70%			
IT knowledge	80%			
English	65%			
Numeracy and logical reasoning	68%			
Other: General knowledge & financial literacy	50%			
<p>Strengths:</p> <ol style="list-style-type: none"> 1. Domain knowledge 2. Computer knowledge and skill 3. Punctuality 4. Diligence and hard work <p>Development opportunities (your chances to succeed at work will can be improved if you put more effort on these)</p> <ol style="list-style-type: none"> 1. Domain skills: try to find more time to practice 2. Communication: try to find more time to practice 3. Confidence: try to speak out more in class, stand straight, etc. <p>Areas of improvement from previous assessment:</p> <ol style="list-style-type: none"> 1. 2. 3. 				

Further instructions on role of Academic Role:

- Trainer and Academic committee of the PIA should assess the performance of the candidates on a continual basis
- Assessing trainer's abilities and training delivery quality should be an important component of the Academic committee work.
- Trainer performance should be continually assessed by the Academic Committee and inputs provided for their improvement.

- Equipment condition should be continuously reviewed and down time should be minimised.
- TLM should be continuously updated.
- Develop interactive material for the Tablet computers.

SF: 4.7B: Instructions for online application for accreditation and affiliation (SSC) / testing centre (NCVT)

- Application form for accreditation and affiliation of training centre under SSC is available at the web link:
http://nscsindia.org/App_Documents/Documents/Affiliation-Format-For-Training-Providers-affiliated-to-Government-Schemes.pdf
- Online application for testing centre for NCVT available at the web link:
<https://www.sdis.gov.in>

SF 4.7C: External assessment certificate report

Name of the PIA:				Training centre Address:		
Sanction letter No:				Project unique id:		
Centre ID:						
Batch ID:		Course name:		Course code:		
Batch start date:				Batch end date:		
Unique ID of the Candidate	Candidate Name	Course in which the candidate is trained	Is the candidate eligible as per SSC/NCVT ? (Yes/No)	Name of Assessment Body	Certifying Agency (SSC/ NCVT)	Date of Certification

Note: 1. Q team, SRLM and CTSA will verify the details entered in the form with the details available in the certificate uploaded in the ERP system for each candidate

2. Certificate will be uploaded against each candidate in ERP once the module is functional. Till that time, it has to be shared manually.

5.2 INSPECTION OF TRAINING CENTRE**Overview**

Item	Description
Purpose	To describe inspection procedures to: <ul style="list-style-type: none"> • ensure compliance of earlier checks • check the documentation • assess the quality of training and • overall performance of training centres
Reference to guidelines	Para 3.2.1.7, page 23
Prerequisite/s	Access to completed: <ul style="list-style-type: none"> • SF 5.1D1: Due diligence of training centre (excluding residential facilities) • SF 5.1D2: Due diligence of residential facilities • SF 5.1H1: Batch summary as on day of batch freezing • SF 5.1H2: List of candidates in the batch and their profile • SF 5.1I: Attendance registers for candidates (as per biometric) • SF 5.1J: Attendance registers for trainers (as per biometric) • SF 5.1P: List of equipment in the training centre • SF 5.1Q: List of equipment in the trainees' accommodation facilities (applicable for residential training only) • SF 5.1T: Daily failure items report • SF 5.1U: 15-day summary of centre status
Time for completion	As per the inspection schedule
Resource/s	SF 5.2A: Training centre inspection and as per the SFs listed after the activities table below
Process owner	PIA OP team

Activities

Actor	Action	Time for completion	Relevant documents
PIA OP team	To ensure <ul style="list-style-type: none"> • Availability of all records as per list given in due diligence and information about the activities to be carried out at the centre on ERP • Proper functioning of the training centre 	Duration varies as per each activity and time for completion is shown against the activity	SF 5.2A: Training centre inspection and as per forms listed in due diligence list
PIA Q team	<ul style="list-style-type: none"> • Carry out the inspection as detailed in SF: 5.2A 	As per the inspection	SF 5.2A

Actor	Action	Time for completion	Relevant documents
	<ul style="list-style-type: none"> Share inspection report and advisories with SRLM/CTSA Follow up for compliance 	schedule	
For APS			
SRLM	<ul style="list-style-type: none"> Carry out the inspection as detailed in SF: 5.2A To verify items checked by PIA Q team including the inspection notes and compliance of the PIAs Q team Share inspection report and advisories with PIA for compliance and CTSA for information 	<p>As per the inspection schedule</p> <p>Within 3 days of conduct of inspection</p>	SF 5.2A
CTSA	<ul style="list-style-type: none"> Carry out the inspection as detailed in SF: 5.2A Check on Q team and SRLM reports and share the advisories Share inspection report and advisories with PIA for compliance and SRLM to ensure 	<p>As per the inspection schedule</p> <p>Within 3 days of conduct of inspection</p>	SF 5.2A
PIA OP team	Comply with the advisories shared	Within 5 days of receipt of advisories	SF 5.2A
PIA Q team	Ensure compliance of the advisories	Within 8 days of receipt of advisories	SF 5.2A
SRLM	Verify compliance report of PIA Q team and initiate action as per default procedure and report CTSA	As per the schedule prescribed in Default chapter	SF 5.2A
For YPS			
CTSA	<ul style="list-style-type: none"> Carry out the inspection as detailed in SF: 5.2A To verify items checked by PIA Q team including the inspection notes and compliance of the PIAs Q team Share inspection report and advisories with PIA for compliance 	<p>As per the inspection schedule but not later than 3 days of inspection conducted</p> <p>Within 3 days of conduct of</p>	SF 5.2A

Actor	Action	Time for completion	Relevant documents
	and SRLM for information	inspection	
PIA OP team	Comply with the advisories shared	Within 5 days of receipt of advisories	SF 5.2A
PIA Q team	Ensure compliance of the advisories	Within 8 days of receipt of advisories	SF 5.2A
CTSA	Verify compliance report of PIA Q team and initiate action as per default procedure	As per the schedule prescribed in Default chapter	SF 5.2A

SF 5.2A: Training centre inspection

Added Annexure I and Annexure II under SF 5.2A

Annexure I: List of items to be verified during desk verification

Desk Verification	Means of Verification	Proof
SF4.6B: On the job training confirmation letter for candidates	Documents uploaded on ERP to be verified with candidates through telephone call for randomly 5 selected candidates in a batch	OJT confirmation letter and audio transcript of candidates' interview
SF 4.6C: OJT completion certificate for candidates	Documents uploaded on ERP to be verified with candidates through telephone call for randomly 5 selected candidates in a batch	OJT completion certificate and audio transcript of candidates' interview
SF 4.6D: Verification for OJT	Telephonic verification with 5 randomly selected candidates in a batch	Audio transcript of candidates' confirmation
SF 4.7C: External assessment certificate report	Verified with ERP System for all the candidates'	Certificate verification as uploaded in the ERP system
SF 5.1L1: Candidate feedback form SF 5.1L2: Summary of the feedback given by the candidates in SF 5.1L1: On completion of training programme	Compilation of feedback of candidates and action taken report	Report shared by PIA

SF 5.1M: Summary of evaluation and assessment done SF 4.7A1: Formative assessment of candidate	As uploaded in the ERP system batch wise	Report shared by PIA
SF 5.1O1: Training certificate	verifying record of Acknowledgement and Courier dispatched.	Document verification as uploaded in the ERP system
SF 5.1O2: Training completion certificate distribution record	verifying record of Acknowledgement and Courier dispatched.	Document verification as uploaded in the ERP system
SF 5.1U: 15-day summary of centre status	As updated in the ERP system/PIA internal website	Report shared by PIA
SF 6.3A1: Batch details	validate from ERP system	Batch details report
SF 6.3A2: Batch enrolment summary	validate from ERP system	Batch details report
SF 6.3A6: List of candidates after freezing of the batch	validate from ERP system	Batch details report
SF 6.3A7: List of candidates after completion of training of the batch	validate from ERP system to be cross verified with biometric attendance	Biometric attendance

Annexure II: List of items to be verified during on site verification

Desk Verification	Means of Verification	Proof
SF 4.3A: English skills content	Checking of the TLM for English skills book and content as mentioned in SF 4.3 A: English skills content of chapter 4	Photograph of the front page and any one page from inside the book.
SF 4.3B: Computer skill content	Checking the TLM for computer skills and content as mentioned in SF 4.3 B: Computer skills content of chapter 4	Photograph of the front page and any one page from inside the book.
SF 4.3C: Soft skills content	Checking the TLM for soft skills and content as mentioned in SF 4.3 C: Soft skills content of chapter 4	Photograph of the front page and any one page from inside the book.
SF 4.2A: Domain curriculum content and equipment	As prescribed by NCVT/SSC	As per the instructions given in point no.15 of Due diligence form under Academic

		and Equipment related to class room/ Domain lab sub heading
SF 4.5A: Activity cum lesson planner	CCTV footage Verification	Photograph of Activity cum lesson plan and sampled video footage
SF 4.8A: Daily distribution of Tablet computers	CCTV footage Verification	Photograph of Activity cum lesson plan and sampled video footage
SF 5.1A1: Look and feel of a training centre	To be verify physically during the inspection	Photographs
SF 5.1A2: Training centre name board	To be verify physically during the inspection	Photographs
SF 5.1A3: Hostel centre name board	To be verify physically during the inspection	Photographs
SF 5.1B1: Activity summary and achievement board	To be verify physically during the inspection	Photographs
SF 5.1B2: Contact details of important people	To be verify physically during the inspection	Photographs
SF 5.1B3: Basic Information Board (Training Centre)	To be verify physically during the inspection	Photographs
SF 5.1B4: Basic Information Board (Residential Centre)	To be verify physically during the inspection	Photographs
SF 5.1B5: Academic Information Board	To be verify physically during the inspection	Photographs
SF 5.1B6: Living Area Information Board	To be verify physically during the inspection	Photographs
SF 5.1B7: Code of conduct for candidates	To be verify physically during the inspection	Photographs
SF 5.1B8: Food specifications (residential centre)	To be verify physically during the inspection and also cross verify with the candidates	Photographs and video of verification with the candidates.
SF 5.1C1: Student entitlement board and responsibilities board	To verify physically during the inspection	Photographs

SF 5.1C1A: Student Attendance and To and Fro Entitlement Summary Information Board	Verify with SF 5.1I: Attendance register for Candidates (As per Biometric) 7 SF 5.1J: Attendance register for Trainers (As per Biometric)	Photographs
SF 5.1C2: Welcome kit to trainees	Ask about the content of the welcome kit & approximate date by which they received it.	Photographs of checklist of items given to the candidates and video of verification with the candidates.
SF 5.1C3: First-aid kit	Physically verify during the inspection	Verification as per the list of First aid kit specified in SOP
SF 5.1 D1: Due diligence of a training centre (excluding residential facilities)	Infrastructure verified during due diligence	Photograph/video of verification
SF 5.1D2: Due diligence for residential facilities	Infrastructure verified during due diligence	Photograph/video of verification
SF 5.1F: Candidate ID template	Physically verify with the randomly 5 selected candidates	Photograph of the candidates
SF 5.1G1: Index of individual candidate dossier	Document to be validated with the randomly 5 selected 5 candidates in a batch	Video recording of interview with candidates
SF 5.1G2: Parents' consent form	Document to be validated with the randomly 5 selected candidates in a batch	Video recording of interview with candidates
SF 4.1A: Plan of training	Physically verify at the training centre	Copy of the plan of training available at the Training centre
SF 5.1I: Attendance registers for candidates (as per biometric device)	Verify with Biometric Attendance Record and CCTV footages for randomly 5 selected candidates in a batch	Biometric Record and CCTV footages
SF 5.1J: Attendance registers for trainers (as per biometric device)	Verify with Biometric Attendance Record and CCTV footages	Biometric Record and CCTV footages

SF 5.1K: Checklist of items given to candidates	Verify CCTV footages with 5 randomly selected candidates from a batch	CCTV footage and video recording of candidate's interview
SF 5.1P: List of equipment in the training centre	Confirm by viewing CCTV footage for any five days on which practical training is scheduled as per the daily activity planner, since the start of the batch.	Verify with the list of equipment that must be available in the training centre
SF 5.1Q: List of equipment available in the trainees' accommodation facilities (applicable for residential training only)	verify with the candidates	Verify with the list of equipment must be available in the residential centre
SF 5.1T: Daily failure items report	To be verify with the candidates and CCTV footage	Video footages while cross verification with the candidates and centre in charge
SF 6.2A1: Overview of aptitude test	To be verify with the candidate dossier and Confirm with the candidate	Video footages while cross verification with the candidates.
SF 5.1E2: Trainers' profile	Physically verify during inspection	Relevant documents for Trainers qualification and Experience in the Domain and non-domain he is dealing with
SF 4.4A: Finishing and work readiness module	CCTV footage review for randomly selected days	CCTV footage
SF 3.10A: Details of Centre in-charge and trainers	Physically verify during inspection as per the updated record.	Trainers attendance, CCTV footage and candidate's feedback
SF 5.1E1: Summary of staff deployed at the training centre	Physically verify during inspection	Biometric attendance of the trainer and CCTV footage

SF 4.6A: On the job training plan for the batch	Plan to be checked whether the proposed OJT is in the same trade or different.	Telephonic/physical verification with the randomly 5 selected candidates from a batch
SF 5.1N: TA/ DA calculation record (batch wise) – To be linked with biometric attendance	verify with the candidates' attendance	Biometric attendance and Video footages while cross verification with the candidates.

SF 5.2B: CCTV - Specifications, location and recording, review and storage

Specifications

These specifications are aimed at ensuring a minimum standard setup at each Training Center in DDU-GKY program. Each Training Center will have to accordingly make necessary addition/ modification in order to comply with these specifications latest by 31.12.2016. All projects going to start operations after issuance of these specifications will have to ensure compliance from the beginning. All existing projects going to open new training centers have to ensure compliance for these training centers from the start. All existing training centers will have to ensure compliance latest by 31.12.2016. Due diligence and/ or inspection protocol of Training Centers will appropriately include review of compliance on these specifications.

IP Camera

The image/ video quality of camera should be of high standards and the hardware should be ready to operate in all environments and all weather. Installation of the camera shall cover all the areas where monitoring and surveillance is required for the training centers, including, academic instruction, assessment and marking of attendance. Cameras should be placed such that all the concerned candidates should be visible in each frame being captured. Few relevant parameters and specifications thereof are listed below for easy reference:

Parameter	Specification
Image sensor & Effective Pixels (Resolution)	1/3" or better CMOS Progressive Scan & Minimum (2 MP), D1 or better
Electronic Shutter	1/30 to 1 / 10,000 s or better

Parameter	Specification
Min illumination/ light sensitivity (Colour) or better	Minimum 0.5 lux (30 IRE, F 1.2) or better
Backlight Compensation	ON/OFF
IRIS Control	DC or Automatic
Focus	Automatic / Manual
Automatic Gain Control	Automatic / Manual
Colour, Brightness, Contrast	Configurable functionality Required
Frame Rate	Minimum 12 FPS
Lens type	2-8mm Varifocal lens or better
Video	
Day and Night functionality	Automatic, Color, Mono
IR illuminator	Illuminator may be Internal or external & visibility should be at least 15 m
Video Resolution	Minimum D1 or better
Video Streams	Individually configurable 02 video streams (H.264, MPEG IV)
Video Compression	
Recording & Viewing	Dual H.264 or better, lossless compression required
Audio	
Audio support	Required in line with other details specified

Parameter	Specification
	below under microphone
Audio Compression	Minimum G.711 or better AAC48KHz or better
Two-way audio	Optional
Input / Output	01 IN & 01 OUT
Interface	RJ-45 for 10/100 base-T Ethernet
Upgrade	Through web browser, online, firmware upgrade
Network Protocols/ other protocols compatibility and support	IPv6, TCP/IP, HTTP, DHCP, UDP, DNS, SMTP, RTP, RTSP, SNMP protocols/Should meet all functional requirement of the project
Alarm Event	Events / alerts send via FTP, HTTP, email, Pre-Post alarm video buffering.
Alarm I/O	1 potential Free 1 In & 1 Out
Compliance	ONVIF Profile S or better
Security	
Password Protection	Required
HTTPS encryption	Required
IEEE 802.1X	Required
General	
Operational temperature °C	0°C to 50 °C

Parameter	Specification
Humidity	0 to 80% RH non-condensing
Power	PoE (Upto 15.4 Watt) OR eAC24V/ DC12V, 100-230VAC
Certifications	UL and CE/ EN/ FCC
Local Storage	
SD card support	Apart from NVR/ server, Camera should support SD card up to 32 GB. In the event of failure of connectivity to the local machine / servers the camera shall record video locally on the SD card automatically. After the connectivity is restored these recordings shall be automatically merged or can be merged manually as & when required with the server recording such that no manual intervention is required to transfer the SD card based recordings to server.

Microphone and Portable recorder

Audio captured in classroom, lab or during interview/ other proceedings etc will have to be of the best quality for ensuring Speech Analytics using an appropriate analytics software used by MoRD/ CTSA/ State. The microphone/ lapel/ portable digital recorder placement should be close to the trainer/ instructor/ assessor/ inspector in order to capture his/her speech clearly for enabling a meaningful Speech Analytics later. Audio footage recorded will have to be stored for transfer to/ fetch from an authorized remote system, separately from CCTV footage. This audio footage will be compared with audio on CCTV footage for a match to ensure compliance. Minimum Specifications for microphone and portable digital recorder are as follows:

- Omni-directional / lapel microphone
- Portable digital recorder, wearable on person
- Tempo change (VSA) function for adjusting the speed from 0.5 to 1.5 times (in 0.1 increments)
- Powered by batteries, USB power or optional AC adapter
- 16 bit PCM .wav format

Network Video Recorder (NVR) or Local Server with NVR functionality

Supports a Broad Range of IP Cameras and NVR supports H.264, MPEG-4, M-JPEG, and other higher formats for recording from multiple ONVIF compliant IP camera models.

Intelligent Video Analytics (IVA) for Fast Video Retrieval with support of out of focus, and camera occlusion to provide fast video retrieval.

Compatibility between the NVR and the surveillance devices are strengthened to provide more event handling options when events are detected or alarms are triggered on the IP cameras.

RAID Data NVR shall support RAID 1, 5, 6, 5+hot spare, 6+hot spare to protect the recording data against hard drive failure.

Convenient video backup to external USB storage through one-touch-auto-video-backup button to copy the data from the NVR to an external attached storage device.

LAN switch

Switch will have to be provided at each Training Center for connecting cameras to NVR/ local Server. Minimum requirement is as follows:

It should be manageable switch, minimum 8 port 10/100 base T POE access ports. It should support all L2 functionalities along with SNMP & port level security. Should be IPV6 ready.

Switch should have non-blocking wire-speed architecture with support for both IPv4 & IPv6

Switch should support Dual Field Replaceable & upgradable Power Supplies

Switch should support queuing as per IEEE 802.1P standard on all ports with mechanism for traffic shaping and rate-limiting features for specified Host, network, Applications etc.

Switch shall support minimum 0 to 50°C continuous operating temperature range and operating relative humidity: Up to 90% non-condensing

WAN router

Router/ functionality will have to be provided at each Training Center to ensure CCTV footage is able to be fetched remotely by MoRD/CTSA/State. Router should have public Static IP for making it directly accessible by authorised systems. Router should be of good quality, temperature and humidity resistant, compliant with the latest industry standards and compatible with appropriate protocols for easy and secure connectivity with LAN devices as well as easy and secure accessibility from an authorised remote system.

Storage of CCTV footage (Video and Audio)

Appropriate local storage capacity will have to be provided at each Training Center as per extant guidelines/ SOP along with a reliable archival and restoration system in place. This storage will have to accommodate all the audio/video recording from above specified cameras and audio recorder. Recording must be stored for at least 3 & 1/2 months beyond training completion for each batch with proper tags for easy recognition and traceability of TC, Batch, Date/time, location etc.

Nomenclature of Footage – PRN no., Project Code (as per MoRD designated ERP system), TC code (as per MoRD designated ERP system), Batch no. (), date (last date of footage in ddmmyyyy format). All these parameters in that order should be concatenated in a single string without space.

CCTV footage for the following events of every batch should be stored till the project is closed by MoRD:

External assessment for each batch

All internal assessments for each batch

Distribution of welcome kit to the candidates on batch freezing date

Centre inspection by PIA Q team, SRLM and CTSA team members

Video footages of some particular events as advised by PIA Q team, SRLM and CTSA other than those above

Sample videos viewed during the inspection schedules as per SOP

Nomenclature of the sample footage – SAM, PRN no., Project Code (as per MoRD designated ERP system), TC code (as per MoRD designated ERP system), Batch no. (), date (last date of footage in ddmmyyyy format). All these parameters in that order should be concatenated in a single string without space. Sampled CCTV footage, in addition to being stored safely will be uploaded to the MoRD designated ERP system and also on PIA website.

Entire CCTV footage of a batch should be stored in the training centre till the inspection schedules specified in SOP for the batch are completed.

Bandwidth

Adequate bandwidth, say, 1 Mbps per camera should be provided at each Training Center to ensure remote monitoring and/ or fetching of CCTV footage from an authorized remote system. Each Training Center will have to ensure that bandwidth shall not become a bottleneck in viewing/ fetching CCTV footage remotely and therefore will make necessary enhancements as demanded by MoRD/CTSA/State to ensure the same.

Power and UPS

Adequate power supply and UPS back-up will have to be provided for a trouble free operation of all the above specified equipment.

Review of CCTV footage (Video and Audio)

CCTV footage for review will be selected through a system generated randomized scheme. Footage viewed on sample basis will be saved on the ERP system. CCTV footage will be reviewed, inter alia, for the following particulars:

- Training deliverables (as per activity cum lesson planner)
- Trainers' skills via domain experts
- Use of training aids and methodology for more impactful learning
- Uniform distribution
- Tablets distribution
- Live distance learning
- Trainers' attendance
- Involvement of trainees during the session
- Identifying uninterested and truant trainees
- Candidates' attendance
- Identify any malpractice during assessment

Annexure VI**SF 6.2A3: Candidate application form**

(This will be uploaded on ERP system, till then this form will be used)

MoRD Logo		DDU-GKY/ Roshni logo		PIA logo	
Ministry of Rural Development, Government of India					
Name of the PIA					
Project number ⁵²					
State					
Training Centre name					
Address of Training Centre					
Nearest Police station					
Batch Number					
Trade					
Registration number					
Date of Registration					
Training duration					

To be filled by candidate:

A. Trainee Profile

Name of Candidate						<i>Photograph</i>	
Gender	Male	Female	Other				
Date of Birth			Age				
Contact phone number	Home		Mobile				
Email							
Facebook username							
Marital status	Single	Married	Divorced	Widowed			
Religion of the candidate	Hindu	Muslim	Sikh	Parsi			
	Buddhist	Christian	Jain	Other			
Current status (please specify)	Student			Yearly income of the candidate (in Rs.)			
	Working						
	Other						
Education Qualification	Below 8th	8th	10th	12th	Graduation	Other	

⁵² This section is to be filled by PIA after successful selection of the candidate

University/ Board of highest qualification			Passing year				
			Percentage/ grade				
Technical qualification	ITI	Other	Other, please specify				
Previously undergone skill training	Yes	No	If yes, please specify name of program				
Work experience	Yes	No	If yes, please specify number of years				
Type of work			Location of work				
Aadhar Number			Enrolment No (EID)				
Job Card Number / NREGA			RSBY Card Number ⁵³				
			BPL Ration Card No				
Antyodaya Anna Yojana Ration Card Number			Driving License Number	Two Wheeler			
				LMV			
Own a Bank account	Yes	No	Name of Bank				
Do you have any insurance coverage	Yes	No	If yes, please specify	PMSBY ⁵⁴	PMJJBY ⁵⁵		
				Other:			
Category	SC	ST	Native language				
Language known (basic, medium, good, excellent)	Native	Read		Write		Speak	
	Hindi	Read		Write		Speak	
	English	Read		Write		Speak	
	Other:	Read		Write		Speak	
PWD type, please specify if applicable			Chronic disease if any, please specify	T.B.	Epilepsy		
				Other:			

B. Family Details:

⁵³ Or alternative records used by RSBY, as notified by the state government

⁵⁴ Pradhan Mantri Suraksha Bima Yojana

⁵⁵ PMJJBY: Pradhan Mantri Jeevan Jyoti Bima Yojana

Name of Head of the Family			Marital Status of Head of the Family	Single	Married
				Widowed	Divorced
Occupation of the Head of the Family	Farmer	Labourer	Other, please specify		
Number of members in the family			Number of family members working outside village		
Is any family member of candidate an SHG member? ⁵⁶	Yes	No	Name of SHG		
Monthly income of the family (in Rs.)			Monthly expenses of the family (in Rs.)		
Total land owned by family (in acres)			Agricultural land (in acres)		

Family details:

Name of family member	Relation	Phone number	Age	M/F	Highest level of education	Occupation	Monthly income (in Rs.)	Enrolled in NREGS or skill training
	Father			M				
	Mother			F				

⁵⁶ Screenshot from nrlm.gov.in with Name of SHG, SHG Id and Name of member shall be enclosed along with declaration from SHG office bearer stating that candidate is part of the family of SHG member

C. Residence details:

Present Address	House number:		Near Landmark:		
	Street:		Block		
	Village		Police Station		
	Post Office:		District:		
	Gram Panchayat		Pin code:		
	State:				
Permanent Address (if different from above)	House number:		Near Landmark:		
	Street:		Block		
	Village		Police Station		
	Post Office:		District:		
	Gram Panchayat		Pin code:		
	State:				
Own house	Yes	No	Electricity availability	Yes	No
Number of living rooms in house			Number of vehicles in house		
Type of cooking material used (check all applicable)	Biogas		Coal	Electric Stove	
	Wood		Kerosene	LPG	
	Smokeless Chulha		Cow dung	Other:	

D. Candidate interests and preferences

Trades you are interested in	1.		2.	N.A. (I am open to any trade)
Preferred duration of training			Salary expectation after training:	
Have you met any alumni from the training program	No	Yes	If yes, please specify how many:	
Have you met any employers	No	Yes	If yes, please specify how many:	
Is any of your family or friends planning to join the training program with you	No	Yes	If yes, please specify how many:	
Are you willing to migrate for training	No		Yes, willing to migrate within the state	Yes, willing to migrate anywhere for training
Are you willing to migrate for work	No		Yes, willing to migrate within the state	Yes, willing to migrate anywhere for work
What motivates you to join the training	Job		Certification	Other, please specify:
Plan to continue studies after training	Yes		No	Uncertain
How did you hear about this training	Gram Panchayat		Friends	Training centre representative
	Family		Other, please specify	

Declaration:

I, _____ S/o / W/o / D/o _____ hereby declare that the information provided above is true to the best of my knowledge & belief.

If selected for training, I hereby undertake:

- a. To attend and participate in all the sessions/classes of the aforesaid training program diligently
- b. To maintain discipline and follow the instructions of the trainer, while undergoing the said training program;
- c. To successfully complete the training program; and

I understand that I will be deemed ineligible for assessment and certification unless, I fulfill the above criteria and meet the assessment standards.

Signature of the candidate

The following documents are attached:

- 2 photos
- Photo Identity Proof
- Document as proof of identity (Aadhar card/Voter ID/Driving Licence or any other ID/card issued by Govt. of India)
- Document as proof of domicile (Ration Card or any other)
- BPL Card or Certification by Panchayat Authority/ Job card (MNREGA)/ RSBY Card/ Antyodaya Anna Yojana Ration Card/ SHG certificate/PIP list approved by Gram Sabha
- Proof of SC/ST/OBC/ Minority/PWD, if applicable. (PWD-self declaration can be accepted)
- Proof of Educational Qualification (Copy of educational certificates, self-attested)

Signature of Applicant

Bank account tracking

I, _____ Son/ Daughter/ Wife of _____ hereby allow Ministry of Rural Development to view my bank transactions, in order to track timely receipt of my salary and benefits that I receive in my bank account, for a period of 18 months.

Bank account number:

Name of Bank:

Branch name:

District:

IFSC Code:

Date

Signature of the candidate

Declaration of Guardian⁵⁷

I, _____ S/o / W/o / D/o _____ hereby declare that the information provided by _____ (Name of Candidate) S/o / W/o / Do _____ above is true and correct. I also declare that he/ she does not have any police case pending.

I hereby give my approval to be held accountable for _____ (Name of Candidate) indiscipline / dropping out from training/ job after one year of joining of the DDU-GKY.

Relation to candidate:

Address:

Phone no:

Occupation:

Date of Birth (dd/mm/yyyy):

I understand that I can be contacted by any private/ government agency involved in DDU-GKY for any further query related to candidate for a period of 18 months.

Date
Guardian

Signature of the

⁵⁷ Guardian can be candidate's parent, relative, Gram Sabha member, Gram Panchayat official or any elder who knows the candidate

To be filled by PIA/ Officials:

Candidate NPR Tin Number (from SECC⁵⁸)			Household Tin No (from SECC⁵⁹)	
Aptitude Test conducted	Yes	No	Name of the test conducted	
Aptitude Test Score				
Allocated Trade				
Comments if any				

Remarks by trainers/ mobilizer who have interacted with the candidate⁶⁰:

- Soft-skills trainer:
- Domain trainer:
- Mobilizer:

Selected for Training: Yes/No

If no, reason for elimination:

Signature of PIA Representatives
Designation, Name
Designation, Name
Designation, Name
Designation, Name

⁵⁸ Candidate can be identified in the Socio Economic Caste Census (SECC) database using the following variables: State, District, Tehsil, Town/ Village/ Block Number (if available), Name of the candidate, Name of Father, Name of Mother

⁵⁹ If Candidate cannot be identified, Candidate's Household can be identified by first identifying Candidate's Parent using grandparents' names and then noting down Household Tin Number

⁶⁰ PIA is suggested to form a 4-member core committee consisting of one domain trainer, one soft-skills trainer, one IT trainer, headed by mobilizer. The candidate must be screened based on the responses in this screening form and on the perception of the core committee members

Guidance note for interaction with candidate at mobilisation and for counselling

The below questions are designed to be a toolkit used in selection interviews to give the opportunity for the interviewer to reveal some motivations and circumstances of the candidate which may otherwise have been missed or unexplored and (in the experience of previous PIAs) perhaps become a reason later in the process for a candidate to drop out. No particular answer to a question should be a hard and fast rule to reject a candidate. Rather the interviewer should consider a wide variety of the question responses together to build a picture that hopefully gives confidence in selecting that candidate or taking additional counselling action (potentially parents as well).

Responses to the questions should be seen as potential triggers/warning lights for further discussion or action by PIA. Whilst asking these probing questions it is important to come across as friendly and inquisitive making eye contact with candidate and observing body language during their replies. Check for complacency in answers - are they enthusiastic. If not question them - "You don't sound very enthusiastic". Ask to repeat something you told them to see if listening (e.g. "Residential - Do you remember how many times you will be allowed home?")

Sl. No.	Area	Probing question	Attention / Dropout risk
1	PERSONAL	What jobs have you had in the past? Are you a key earner in the family?	If key earner in family then more likely candidate will drop out to support family at home. If from a farming lifestyle then could find it more difficult to adjust to urban working or feel more homesick.
2	PERSONAL	Have you dropped out from studies? If yes, why did you dropout studies? What did you do after dropping out?	Could this same reason for dropping out occur again meaning drop out here too? Is an activity/job done after dropping out likely to be resumed again during the training/placement?
3	PERSONAL	Would you like to continue studies (Regular/Distance education)?	Candidate may just be using course to further training and not intend to work afterwards.
4	PERSONAL	Currently involved in any other scheme, training or education programme - even part time	Candidate may just be using course to further training, not be able to give full attendance or may not intend to work afterwards.
5	PERSONAL	Have you applied for any other jobs or training schemes	Candidate may have applied for a range of options so may drop out quickly if they get a better offer - discuss with them what other options are and timelines. But if they applied previously and this is not in progress then this could be a good sign that the candidate is motivated to get a job and be trained.
6	PERSONAL	What do your parents do for earning? Who is main earner?	This will give you a better idea of family life and how they maintain a livelihood. Consider the disruption the candidate leaving the family to work will have on their livelihood/earnings.

7	PERSONAL	How many siblings do you have?	<p>Female Candidate: If only female sibling then more likely parents could be protective and not allow training/work outside district/state.</p> <p>Male Candidate: If only male sibling or eldest then could be more likely to have to return home to assist family?</p>
8	PERSONAL	What is your family annual income?	May not need the program. Candidates who are not genuinely financially in need (despite having necessary documentation) are significantly more likely to drop out during placement as the type of job/salary may not be in line with their expectations. It is important to try and discover this before training begins. Map candidate to SECC database to identify financial need of household.
9	PERSONAL	Does your family have any Agriculture Land, Cattle Farm or business (i.e. shop)?	Combined with answers to family size consider if candidate may drop out or need time off to assist with family livelihood. Map candidate to SECC database to identify financial need of household.
10	PERSONAL	Do you have any family issues or problems at moment?	Evaluate if issues may cause difficulties for candidate to maintain attendance at training/placement or will cause significant distraction impacting their performance
11	PERSONAL	Does your family have any plans to move in the next 1/2 years?	Could mean the candidate drops out due to family migrating
12	PERSONAL	Will your family allow you to work outside of district/state? How do you know? Have you discussed it prior to today?	If skills demand out such that placement outside district/state is highly likely then if parents object dropout could occur after training.
13	PERSONAL	Is marriage for candidate coming up in future?	<p>Male Candidate - evaluate if candidate will need time off for marriage ceremony or if they will need to move or get job/income immediately following getting married.</p> <p>Female Candidate - evaluate if candidate will need time off for marriage ceremony or if they will need to move or stop working/look after family immediately following getting married.</p>
14	PERSONAL	Does candidate have any young children?	If child less than 1 year, time off likely for parental reasons and possible drop out due to feeling homesick. If more than one year then parents/spouse buy in is essential.
15	PERSONAL	Do you think there could be occasions where you might find it difficult to attend training center 6 days a week for 8 hours a day?	This is asking an honest innocent question to try to discover hidden reasons why the candidate may not attend training/placement.

16	PERSONAL	Do you have any personal/family plans or events to attend in the next 6months (training + placement duration)?	Could reveal reason when they would need time off during training/placement
17	PERSONAL	Do you have any sources of income at present?	Could indicate that they have another job in which case its important to understand if this money is required to sustain own/families livelihood during the training period.
18	PERSONAL	If residential - how will you feel about being away from home for 3 months straight? Do you not have responsibilities at home?	Could indicate that candidate will not be able to attend a residential course as they need to return home often. Depending on the work location this could also be a warning sign that they will not take up the placement after training for the same reason.
19	LIFESTYLE	How do you normally spend your time?	Gives you a good idea of what the candidate is doing at the moment (e.g. Working/helping family/just hanging out with friends)
20	LIFESTYLE	What is your daily routine?	Gives you a good idea of what the candidate is doing at the moment (e.g. Working/helping family/just hanging out with friends)
21	LIFESTYLE	What is your responsibility at home?	Combined with answers to family size consider if candidate may drop out or need time off to assist with family livelihood. Often candidates from farming backgrounds find it hardest to adjust to training/working routine/life.
22	LIFESTYLE	Which phone do you use?	If using smart phone then candidate may not be in financial need. Map candidate to SECC database to identify financial need of household. Mobile would be a good way to keep in touch with candidate.
23	LIFESTYLE	If residential - will you be able to go without Alcohol/drugs for 3 months straight?	This is difficult because candidates will of course accept this but still good to highlight now, set the expectations and judge the candidates reaction. The training centres have strict regulations on this and the candidate will be sent home and parents informed if told of this.
24	LIFESTYLE	Do you like to work outside your state/district?	A big reason for drop outs is candidates get homesick or miss family. If they are not travelling outside village regularly then this is more likely.
25	LIFESTYLE	How often do you visit [large city/town]/outside state?	A big reason for drop outs is candidates get homesick or miss family. If they are not travelling outside village regularly then this is more likely.
26	LIFESTYLE	What Transport do you use Public or Private? How did you get here today?	Private - what kind of private transport, did they come in car or on own motorbike. If so potentially not financial in need. Map candidate to SECC database to identify

			financial need of household.
			Public - good sign as used to public transport which will be needed to attend training and placement. Also assess whether commute distance/availability/cost will be an issue.
27	INTEREST	What is your salary expectation? (Non-leading question)	If expectation is too high or unrealistic it could mean the candidate will drop out soon after placement. Could also mean they are not serious about getting the type of job offered afterwards and just here for training. Allow special time for counselling candidate on job/salary/career growth and establish motives and likely behaviour in placement.
28	INTEREST	Are you willing to Work for Minimum Rs.6K per month?	If yes then enquire whether they think that income will be enough to sustain their overheads
29	INTEREST	What is your future plan/goal?	Positive responses would be they want to learn, to get career job, to earn money, get promoted and make parents happy. Negative responses would be anything that means they are less likely to complete the training/placement. Note: Having higher aspirations than the current job/trade is no bad thing in itself but expectations need to be managed through effective counselling to ensure this is a valuable step in the right direction. Similarly aspirations must also align with ability. Allow special time for counselling candidate to manage expectations of job/trade they will be trained for and ensure it is the right choice for them.
30	INTEREST	Questions specific to job/trade to establish true willingness to do type of job - do not mention these are needed for the trade just ask question (e.g. Retail - on feet all day? BPO - on phone all day? Automotive/tourism - working outside all day in heat? IT - sitting in front of computer?)	This can also be included in the counselling but a stark illustration of the physical/mental realities of the job may at this stage cause a reaction in the candidate that reveals likely true feelings.

31	INTEREST	If trade will require good English and candidate background supposes English also then switch the conversation to English and ask some basic questions about hobbies/films/school they went too	Could reveal a mismatch between requirements for the job and genuine ability. The fact that good english is required could mean candidate drops out during training or is not accepted into placement.
32	INTEREST	What trade/profession would you love to do if you could anything? What do think your parents want you to do?	Important to see if this aligns with the chosen trade and if it reveals parental pressure to learn a particular trade (IT/white collar job) when they are not genuinely interested or already have a decent job.
33	INTEREST	Who is your role model? Why?	Candidate more likely to be driven if role model is working and independent. If role model is unemployed, the candidate has higher risk of dropping out.

Annexure VII

7.1.2 Desk verification of documents of candidates in Group A (who are tracked as per SF 7.1B1)

Overview

Item	Description
Purpose	To verify the documents of the candidates
Reference to guidelines	Step 11, Table 4, Page 46
Prerequisite/s	All the candidates who are tracked as per SF 7.1B1
Time for completion	Continuous process
Resource/s	SF 7.1B1: Tracking form for candidates in Group 'A' , SF7.1B3: List of items to be verified from different documents to confirm placement, SF 7.1F: Procedure for desk verification of candidates who are tracked as per SF 7.1B1 , SF 8.6A: Amount transferred to a candidate's bank a/c as take home pay and SF 7.1G: List of candidates who are in Group 'A'
Process owner	PIA OP team

Activities

Actor	Action	Time for completion	Relevant Documents
Document verification			
PIA OP team	To finalise and upload the data of candidates for the previous month	To be submitted by 9 th of every month	SF 7.1B1: Tracking form for candidates in group 'A'
ERP System or SRLM for APS and CTSA for YPS	Sample Generation for PIA Q team	On 10 th of every month	SF 7.1B1: Tracking form for candidates in group 'A', SF 7.1F: Procedure for desk verification of candidates who are tracked as per SF 7.1B1
PIA Q team	Verify candidate documents – sample document verification	To be done between 10 th to 14 th of month – As per sampling process	SF7.1B3: List of items to be verified from different documents to confirm placement
ERP System or SRLM for APS and CTSA for YPS	Sample Generation for SRLM/CTSA	On 15 th of every month	SF 7.1B1: Tracking form for candidates in group 'A' ,
SRLM for APS and CTSA for	Verify candidate documents - sample document verification	To be done between 15 th to 18 th of month	SF7.1B3: List of items to be

Actor	Action	Time for completion	Relevant Documents
YPS		– As per sampling process	verified from different documents to confirm placement
Salary payment			
SRLM for APS and CTSA for YPS (finance teams)	Verify take home pay credited to candidate's bank a/c uploaded in ERP system	To be done between 14 th to 18 th of month – As per sampling process	SF 8.6A: Amount transferred to a candidate's bank a/c as take home pay (input from Chapter 8)
Combining document verification data and salary verification data			
SRLM for APS and CTSA for YPS	Combine both data. If there are differences in take home pay, system should be programmed to take the lower figure and prepare a list of eligible candidates.	To be submitted by 20 th of every month	SF 7.1G: List of candidates who are in Group 'A'

Note: 1. **For cases where a PIA could not submit data and documents as per the timeline:** A PIA can submit data and documents with a month delay for a maximum of 20% of candidates **in Group A** in the month. For these candidates the document verification schedule will be as per the month in which documents and data are submitted. For example if placement is in January but documents are submitted as per March timeline (instead of February timeline) verification will follow the March timeline.

With reference to the above the following is further clarified:

- No candidate will be deprived of PPS if PIA has submitted the documents late and the PIA will be eligible for reimbursement as per conditions laid out for payment of PPS in Chapter8 Section 8.4.4.
- A PIA can withhold PPS payment if it is established by a sufficient proof that candidate did not submit the requisite documents. All these cases should be reported to the SRLM for APS and CTSA for YPS and they will be compiled by the ERP system for exception management.
- Delayed document submission for a month need not imply a delayed physical verification, if it is already received at the time of sample generation. Else it will be delayed by a month after receipt of documents. If it not received even in next month, the candidates will not be considered for physical placement sample.

7.1.3 Desk verification of documents of candidates in Group 'B' (who are tracked as per SF 7.1B2)

Overview

Item	Description
Purpose	To verify the documents of the candidates
Reference to guidelines	No specific provision
Prerequisite/s	All candidates who are tracked as per SF 7.1B2
Time for completion	Continuous process
Resource/s	SF 7.1B2: Tracking form for candidates in group 'B' and SF 7.1H: Procedure for desk verification of candidates who are tracked as per SF 7.1B2 and SF 7.1I: List of candidates who are in Group 'B'
Process owner	PIA OP team

Activities

Actor	Action	Time for completion	Relevant Documents
Document verification			
PIA OP team	To finalise and upload the data of candidates for the previous month	To be submitted by 9 th of every month	SF 7.1B2: Tracking form for candidates in group 'B'
ERP System or SRLM for APS and CTSA for YPS	Sample Generation for PIA Q team	On 10 th of every month	SF 7.1B2: Tracking form for candidates in group 'B',
PIA Q team	Verify candidate documents - sample document verification	To be done between 10 th to 14 th of month – As per sampling process	SF 7.1B2: Tracking form for candidates in group 'B'
ERP System or SRLM for APS and CTSA for YPS	Sample Generation for SRLM/CTSA	On 15 th of every month	SF 7.1B2: Tracking form for candidates in group 'B',
SRLM for APS and CTSA for YPS	Verify candidate documents - sample document verification	To be done between 15 th to 18 th of month – As per sampling process	SF 7.1B2: Tracking form for candidates in group 'B'

Note: 1. **For cases where a PIA could not submit data and documents as per the timeline:** A PIA can submit data and documents with a month delay for a maximum of 20% of candidates in **Group B** in the month. For these candidates the document verification schedule will be as per the month in which documents and data are submitted. For example if placement is in January but documents are submitted as per March timeline (instead of February timeline) verification will follow the March timeline.

SF 7.2C: Procedure to draw samples for physical verification and confirmation of placement

Procedure for physical verification

The sampling strategy and decision rules to be followed for interpretation of placement outcomes are discussed below.

Placement targets for release of instalments

The placement target should be 70% of the training target for the project (Note: Reduction from the earlier norm of 75 % to the new norm of 70 % of placement will be applicable to all batches trained from the inception of the project).

As money is released in instalments, training target, placement target and the amount released in each instalment are as follows:

Instalment	Training target (%)		Minimum placement target (% of trained candidates)		Financial releases (%)	
	Instalment Target	Cumulative	Instalment Target	Cumulative	Instalment value	Cumulative
First	0	0	0	0	25	25
Second	10	10	7	7	50	75
Third	57.5	67.5	40.25	47.25	15	90
Fourth	32.5	100	22.75	70	10	100

Estimate of sample size

The sample size for physical verification varies as per the project size and is fixed as follows:

Sl. No.	Project size (training target)	Sample size for release of each instalment S	Total sample (sum of the samples at each instalment usually 3 times of the previous column) N
1	Up to 3000	50*	150**
2	3001 to 4500	75	225
3	4501 to 6000	100	300
4	6001 – 7500	125	375
5	Greater than 7500	(1/3) of 5 % of the target rounded to next highest number	3 times of previous column.

Sl. No.	Project size (training target)	Sample size for release of each instalment S	Total sample (sum of the samples at each instalment usually 3 times of the previous column) N
Note: * - If total placed candidates are less than 50, then the sample size will be same as the population. ** - Total samples will be less than 150, if placed candidates are less than 50 in any instalment.			

Internal target for placement set by PIA

Past practical experience has been that most PIAs place more than 70% candidates as safety mechanism against unforeseen errors or short falls. Under DDU-GKY also, it is proposed to provide such a safety mechanism and use it for the benefit of the project and the PIA.

Firstly, such a mechanism will provide a cushion to the PIA against all sorts of mistakes that could happen in the process. In addition, the project and the programme will also be benefitted as the overall placement percentage will get a boost.

Thus, all PIAs can specify a higher placement percentage as the project internal target. However, it is clarified that placement target for DDU-GKY programme will be 70% and all the releases will be based on this target.

The higher internal target will be used in evaluation process to check if he had achieved the minimum 70 % based on sampling results. The implications become clearer when we decide on the instalment release (Refer section on Decision Rules).

Distribution of sample size over quality teams

All projects will have quality teams; the PIA Q team, State Rural Livelihood Mission (SRLM) teams for APS, Central Technical Support Agency (CTSA) teams for APS and YPS.

Majority of the samples are verified by the PIA Q team and a smaller sample is to be verified by SRLM's team in APS and CTSA's team for APS and YPS. This is called primary verification.

Distribution of samples between quality teams for primary verification will be as follows:

- PIA Q team will verify approximately 80 % of samples (rounded to nearest whole number)
- In APS: SRLM team will verify approximately 15 % of samples (rounded down to nearest whole number) and CTSA team will check 5 % of samples (arrived at after subtracting PIA Q team and SRLM samples from the total samples).
- In YPS: CTSA will verify 20 % of the samples (arrived at after subtracting PIA Q team samples)

- A detailed distribution of samples between various quality teams for an APS and YPS is given in **Annexure I**.

Recheck samples

Some samples checked by PIA Q team will be rechecked by SRLM and CTSA for APS and by CTSA for YPS. These samples are called recheck samples. Recheck of samples will be planned such that for:

- **APS:** Q team samples will be rechecked by SRLM and Q team and SRLM samples will be rechecked by CTSA
- **YPS:** Q team samples will be rechecked by CTSA

Recheck sample size will be 10% of the primary sample size. The recheck samples will be distributed in the ratio of 40% and 60 % between SRLM and CTSA for APS and assigned 100 % to CTSA for YPS. Distribution of recheck samples is given in

Annexure I:

Role of SRLM in YPS

Though CTSA is solely responsible for verification in case of YPS, CTSA will make all efforts to progressively involve SRLMs of YPS in placement verification. This would help the state to make a transition from YPS status to APS status. The number of samples a state would like to verify may be arrived through a consensus.

Drawing of samples for physical verification

The process for drawing samples in a month is as follows:

- From the list of candidates uploaded every month by the PIA, an automated process will scan for candidates who are eligible for placement as defined by the DDU-GKY programme by the end of the previous month.
- There will be two cases and they are illustrated below. (The actual semantics of how they are calculated is discussed in the examples.):
 - Case 1: The cumulative sum of all placed candidates is less than target number of candidates to be placed for release of instalment.
For example, if the target number of candidates to be placed for release of instalment is 1000, then cumulative sum of all candidates should be less than or equal 1000.
All the candidates placed in the month would be included for the sampling purposes.
 - Case 2: The cumulative sum of all placed candidates is more than the target number of candidates to be placed for release of instalment.
For example, if the target number of candidates to be placed for release of instalment is 1000 then cumulative sum of all candidates placed should be greater than 1000.

In such a case, number of candidates will be chosen such that cumulative sum equals the target number of candidates to be placed for release of instalment.

Rest would be carried forward for the next instalment.

For example, if the candidates placed in the previous month are 165 and cumulative total is 1070 then 95 candidates would be selected so that 1000 candidates required for this instalment is fulfilled. The rest 70 would be carried forward for the next instalment.

- These candidates will form the sampling frame for the month.
- Samples will be drawn randomly and distributed between quality agencies (Q team or CTSA for YPS or CTSA/SRLM for APS). Process will be automated and completed.
- The quality agencies will submit the action plan assigning personnel who would conduct on-site physical verification.
- The process of notification of the sample units to different agencies is discussed in the section on verification process.

An example is given below to explain the above steps in **Annexure II**.

On-site Physical Verification process

The verification of the candidate would be conducted at the work location of the candidate.

After the samples are generated in random, the verification process will commence. It involves the following steps:

- An automated system will indicate the number of samples assigned to an audit agency in each place (Place means either an urban agglomeration - for example, National Capital Region, Hyderabad Metropolitan region etc. or a district if it is a small place, which will be shared by ERP on 21st of every month after completion of desk verification. This is to ensure that the samples remain anonymous till the day of check)
- All quality personnel should carry geo tagged and time stamped equipment to provide their location data to the ERP system.
- All quality personnel will first go to the place and confirm their location to the ERP system after which the Candidates work location details will be conveyed.
- On reaching the work location, the quality personnel should confirm his/ her location to the ERP system. The candidate details will be conveyed and the, movements of the quality personnel will be tagged with a geo tagged time stamped device.
- Once the identity of the candidate is verified, use the questionnaire in SF 7.2D to interview the candidate with a geo tagged, time stamped, video device. The start and close time of the interview should be indicated to the ERP system

- The interview will be recorded with a geo tagged time stamped audio visual recording device
- After the interview is over, the video record will be uploaded in 60 minutes to the ERP system.
- Candidate identity proof and photograph as available in the ERP system should be attached along with the onsite physical verification of placement.
- On completion of the interview, the decision on the status of the candidate, either "Placed" or "Not Placed" should be updated within 2 hours.
- Based on the interview with the candidate, a further probe could be initiated if necessary. Nature of the further probe required should be indicated along with the report submitted within 24 hours of completion of interview.
- Any exception to the above, will be treated by the system as if the candidate is not placed.
- All samples which are considered as not placed will be compiled by the system as exception reports and brought to the notice of PIA. In such a case, PIA can file a counter claim to CTSA for YPS and SRLM for APS.
- Status of the sample could be decided based on evidence presented by the PIA. If necessary, further probe can be initiated.
- Final decision on the status of candidate would be taken by CTSA for YPS and SRLM for APS after the counter claim which is submitted by the PIA.
- Similar process should be repeated for all candidates.

Note:

If more than one sample is available at the same work location a maximum of 5 samples could be revealed to the quality personnel at the same time. The number of samples that will be given will depend on the number of samples that the quality auditor can assess in one session (say a forenoon or afternoon session).

If ERP system is not functional at the time of issue of SOP, interim arrangements will be notified by MoRD separately.

Estimating the success rate and reconciling the variations in success rate between Q team samples, CTSA/SRLM samples and the recheck samples

Annexure III gives the method to estimate the success rate when there are considerable differences noticed in the success rate between Q team samples with those of CTSA samples. If the success rates of Q team are larger than the CTSA sample success rate by a predefined margin, then a correction factor is applied to calculate the Q team sample success rate.

The differences in success rate could be due to sampling errors (assuming that non sampling errors are common to all the samples) or bias. While the sampling process was robust enough to address the sampling errors, the bias should be corrected –

especially bias arising out of a conflict of interest in the working of a Q team. In order to correct the bias the following methodology is used:

The success rate arrived from Q team samples (say P_q) is compared with success rate arrived from CTSA (P_c) samples plus a margin of error (X) (i.e. P_q is compared with $P_c + X$), and the following action is taken:

- If P_q is less than or equal to $P_c + X$ ($P_q \leq P_c + X$), then the results reported by Q team are considered as unbiased and used as it is to calculate the sample success rate.
- If P_q is greater than $P_c + X$ ($P_q > P_c + X$), then the results reported by Q team are considered as biased and a correction factor is applied to calculate the Q team sample success rate.

Calculation of final success rate

- Let T be the total number of samples.
- Let A be the successful cases from Q team sample (including recheck sample i.e. sample size is $0.8T$).
- Let B be the successful cases from Q team sample (excluding recheck sample i.e. sample size is $0.7T$).
- Let C be the successful cases from the CTSA sample (including recheck sample i.e. sample size is $0.3T$).
- Let D be the successful cases from the CTSA sample (excluding recheck sample i.e. sample size is $0.2T$).
- Let E be the successful cases from recheck sample (adjudged as per procedure prescribed in SOP – refer Section 7.2.2.1 for the description of the procedure i.e. sample size is $0.1T$).
- Let F be the successful cases in the recheck sample as assessed by Q team (i.e. sample size is $0.1T$).
- Let G be the successful cases in the recheck sample as assessed by CTSA/SRLM team (i.e. sample size is $0.1T$).

Hence, Success Rate (P) = $(B + D + E)/T$; if $P_q \leq P_c + X$

Success Rate (P) = $(B_{\text{modified}} + D + E) / T$; if $P_q > P_c + X$

Where

P_q , Q team success rate = $A/(0.8T)$

P_c , CTSA/SRLM success rate = $C/(0.3T)$

X is the error margin and method to calculate is explained in the Annexure III.

Where $B_{\text{modified}} = B * (G / F)$; when $(G / F) < 1$
Or $B_{\text{modified}} = B * 1$ when $(G / F) \geq 1$ or $F = 0$

Decision rules for Release of Instalments

Let P_i be the sample success proportion for instalment i ($i = 2, 3, 4$).

I ($> 70\%$) is the internal target fixed by the PIA ($I = 70\%$, the program target if PIA has not fixed a higher target).

Release of 2nd instalment

The instalment release will be as follows:

- If $(P_1 \times I) \geq 70\%$, then
 - PIA is entitled for full fund release due in the instalment subject to fulfilling other conditions for release of funds.
- If $50\% \geq (P_1 \times I) > 70\%$ then,
 - The project cost allowed shall be pro-rated to the placement achieved and full costs shall not be allowed.
 - Release funds to PIA as per the success rate $\left(\frac{P \times I}{70}\right)$ [same as $P_1 \times I$] subject to fulfilling other conditions for release of funds.

For example, if $P_1 = 66\%$, then funds to be released would be $\frac{66}{70}$ of the instalment release.

- Issue advisories.
- Revise the minimum placement target for the project for the next instalment to $T\%$, so that the overall target of minimum of 70% will be achieved.
- If $(P_1 \times I) < 50\%$ then,
 - The project shall be terminated immediately.
 - Pro-rata payments for candidates placed shall only be allowed.

Release of 3rd instalment

The placement will be against revised target T ($\geq 70\%$) after 2nd instalment is released.

- If $(P_2 \times I) \geq T$ then,
 - PIA is entitled for full fund release subject to fulfilling other conditions for release of funds.

- If $(P_2 \times I) < T\%$ and $50\% \geq (P \times I) < 70\%$ then
 - The project cost allowed shall be pro-rated to the placement achieved and full costs shall not be allowed
 - Release funds to PIA as per the overall success rate $\left(\frac{P \times I}{70}\right)$ subject to fulfilling other conditions for release of funds.
 - Issue advisories
 - Revise the minimum placement target for the project for the next instalment so that the overall target of minimum of 70 % will be achieved.
- If $(P_2 \times I) < T\%$ and $(P \times I) < 50\%$,
 - The project shall be terminated immediately.
 - Pro-rata payments for candidates placed shall only be allowed.

Release of 4th instalment

- If $(P_3 \times I) \geq T\%$ then,
 - PIA is entitled for full fund release subject to fulfilling other conditions for release of funds
- If $(P_3 \times I) < T\%$ and $50\% \geq (P \times I) > 70\%$ then,
 - The project cost allowed shall be pro-rated to the placement achieved and full costs shall not be allowed
 - Release funds to PIA as per the overall success rate $\frac{P \times I}{70}$ subject to fulfilling other conditions for release of funds.
 - Issues advisories
- If $(P_3 \times I) < T\%$ and $(P \times I) < 50\%$ then,
 - The project shall be terminated immediately.
 - Pro-rata payments for candidates placed shall only be allowed.

Incentive for achievements in placement:

If the final placement achievement of the PIA is greater than 70% then an incentive will be released for the PIA. The Incentive to be released will follow the following criteria.

- Rs 3000 per candidate for every unit placed above 70% till 85% of the placement target.
- Rs 5000 per candidate for every unit placed above 85% of the placement target.

The incentives will be calculated and released only during the last and final instalment of the project.

Annexure I: Sample size and distribution of primary and recheck samples between various quality teams for an APS and YPS

Table 10-6: Sample size and distribution of primary samples

Sl. No.	Project size (training target)	Sample size for each instalment – S (A)	Sample distribution			
			PIA team Q (B)	APS		YPS by CTSA (Role of SRLM will as mentioned below))
				SRLM (C)	CTSA (D=A-B-C)	
1	Up to 3000	If sample is less than 50	Rounded to nearest whole number of 80 % of (A)	whole number of 15 % of (A)	A-B-C	A-B
		50	40	7	3	10
2	3001 to 4500	75	60	11	4	15
3	4501 to 6000	100	80	15	5	20
4	6001 to 7500	125	100	19	6	25
5	Greater than 7500	whole number of (1/3 of 5 % of project target)	Rounded to nearest whole number of 80 % of (A)	whole number of 15 % of (A)	A-B-C	A-B

Table 10-7: Recheck sample size and distribution of recheck samples

Sl. No.	Project size (training target)	Recheck sample size (E)	Recheck sample distribution		
			APS		YPS
			SRLM (All samples from Q team samples) (F)	CTSA (G)	
1	Up to 3000	5	2	3 (2 from Q team and 1 from SRLM samples)	5
2	3001 to 4500	8	3	5 (4 from Q team and 1 from SRLM samples)	8
3	4501 to 6000	10	4	6 (4 from Q team and 2 from SRLM samples)	10
4	6001 – 7500	13	5	8 (6 from Q team and 2 from SRLM samples)	13
5	Greater than 7500	Nearest round number of 10% sample size of	Whole number of 40% of [E]	[E – F] (80 % from the Q team samples and 20% from SRLM samples, both corrected to round numbers)	Same as E

Annexure II: An example of the process for drawing samples in a month for physical verification

Basic Data

Project size	1428
Placement percentage	70%
Placement target (P)	1000
PIA Internal target (I)	80%
PIA Internal target for placement	1142

In the table above, for release of instalment, the PIA's internal target for placement is considered for sample generation.

Instalment wise samples and target break up

Instalment	Samples	Amount released (in %)	Target placement	
			As per programme (70%)	PIA's internal target 80%
2 nd	50	10	100	114
3 rd	50	57.5	575	657
4 th	50	32.5	325	371
	150		1000	1142

A monthly breakup of the samples is given in Table below. Please notice the sample breakup given for months 2 and 6. In month 2 the placed candidates are distributed between 2nd and 3rd instalment and in month 6 the break up is between 3rd and 4th instalment.

Month	Placement at 70%					Placement at 80% (as per internal targets)				
	Candidates in placement reckoning	Cumulative	Sample for each month and instalment			Candidates in placement reckoning	Cumulative	Sample for each month and instalment		
			2 nd	3 rd	4 th			2 nd	3 rd	4 th
1	50	50	25	0	0	50	50	22	0	0

Annexure III: Estimating the success rate and Reconciling the variations in success rate between Q team samples, CTSA/SRLM samples and the recheck samples

Method for calculating success rate

- Let T be the total number of samples.
- Let A be the successful cases from Q team sample (including recheck sample i.e. sample size is $0.8T$).
- Let B be the successful cases from Q team sample (excluding recheck sample i.e. sample size is $0.7T$).
- Let C be the successful cases from the CTSA sample (including recheck sample i.e. sample size is $0.3T$).
- Let D be the successful cases from the CTSA sample (excluding recheck sample i.e. sample size is $0.2T$).
- Let E be the successful cases from recheck sample (adjudged as per procedure prescribed in SOP) i.e. sample size is $0.1T$).
- Let F be the successful cases in the recheck sample as assessed by Q team (i.e. sample size is $0.1T$).
- Let G be the successful cases in the recheck sample as assessed by CTSA/SRLM team (i.e. sample size is $0.1T$).

Step 1: Calculate Q team and CTSA/SRLM success rates.

Q team success rate, $P_q = \frac{A}{0.8 \times T}$

CTSA/SRLM success rate, $P_c = \frac{C}{0.3 \times T}$

Step 2: Estimate the margin of error (X)

X is statistically determined and is given by the formula = $Z * (\text{standard deviation of CTSA sample proportion } P_c) + \text{Correction for continuity}$

Where, Z is the confidence level and committee recommends 95 % confidence using a single sided test. Based on this Z is 1.645.

Standard deviation of P_c is given by $(P_c) * (1 - P_c) / (0.3 * T)$

Correction for continuity is given by $0.5 / (0.3 * T)$

Note: For statistical details please refer any standard Statistics book or online material like - http://onlinestatbook.com/2/estimation/proportion_ci.html

or https://en.wikipedia.org/wiki/Binomial_proportion_confidence_interval)

Step 3: Compare P_q and $P_c + X$

If P_q is less than $P_c + X$ (i.e. $P_q \leq P_c + X$) then no bias is noticed in Q team samples and the Success rate = $\frac{B + D + E}{T}$

If P_q is greater than $P_c + X$ (i.e. $P_q > P_c + X$) then bias is noticed in Q team samples and a correction factor is applied to Q team samples.

Step 4: Calculation of correction factor and modification of number of successful Q team samples.

Correction factor or say CF ;

$$\begin{aligned} CF &= \frac{\text{No. of successful cases in recheck sample as assessed by SRLM/CTSA}}{\text{No. of successful cases in recheck sample as assessed by Q team}} \\ &= \frac{G}{F}; \text{ when } \frac{G}{F} < 1 \\ &= 1; \text{ when } \frac{G}{F} \geq 1 \text{ or } F = 0 \end{aligned}$$

The Q team successful cases excluding the recheck sample, is corrected as $B_{\text{modified}} = B \times CF$

Step 5: Calculation of final success rate

$$\begin{aligned} \text{Success Rate (P)} &= \frac{B + D + E}{T}; \text{ if } P_q \leq P_c + X \\ &= \frac{B_{\text{modified}} + D + E}{T}; \text{ if } P_q > P_c + X \end{aligned}$$

SF 7.2D: Items to be checked during on-site visit for placement verification

As per the format prescribed in the ERP system. Till the format is available in the ERP system the format prescribed below will be used.

Instructions

Details in column marked R to be prepopulated (from the ERP System).

The strings Month1, Month2, Month3 should be replaced and prepopulated in its respective place of occurrences from the ERP system, when the respective candidate details is loaded in the form. The replacement should be as follows.

To be replaced	To be prepopulated
Month1	First month of placement as per desk verification report
Month2	Second month of placement as per desk verification report
Month3	Third month of placement as per desk verification report

Format to be followed while replacing Month1 or Month2 or Month3: first 3 letters of the month, Year in the format YYYY (eg. For January 2015 the format should be JAN 2015).

Section A:

Details provided to the quality personnel during on-site physical verification (No changes to be done in the data during the verification). All the details are with respect to the candidate who has to be verified.

Candidate's identity to be confirmed using the data in Section A.

A1: Photo ID card of the candidate issued by any government organization.

(Pre populated from the ERP system)

A2: Photograph of candidate

(Pre populated from the ERP system)

A3: Candidate's Basic Information

SL No	Title	Information
(P)	(Q)	(R)
A3.1	Name	Pre populated

A3.2	Unique ID number	Pre populated
A3.3	Gender	Pre populated
A3.4	Whether differentially abled	Pre populated
A3.5	Guardian's Name	Pre populated
A3.6	Mobile No	Pre populated
A3.7	Date of Birth	Pre populated
A3.8	Category	Pre populated
A3.9	Domicile State	Pre populated

A4: Candidate's Training Details:

SL No (P)	Title (Q)	Information (R)
A4.1	PIA Name and Project ID	Pre populated
A4.2	Training Centre Name and code	Pre populated
A4.3	Trade	Pre populated
A4.4	Course Duration	Pre populated

A5: Confirming the Candidate's presence at the location (to be done by the verifying officer)

SI No (P)	Confirming the Candidate	Validation by the quality personnel
A5.1	Is the candidate contacted at work location? (Match the photograph of the candidate with the person who is claiming to be the right candidate.)	Yes/No (If Yes, move to Section A6 and if No, Move to Section C)

A6: Consent of the candidate for verification:

SI No	Question to be asked to candidate	Response of candidate	Action to be done according to the response
A6.1	Are you ready to share the details of your employment?	Yes/No	If Yes Move to Section move to A6.2 If No move to Section C.
A6.2	Shall I record the video of this conversation?	Yes/No	If Yes start recording the video of the conversation and move to Section B If No move to Section A6.3
A6.3	Shall I record the audio of this conversation?	Yes/No	If Yes start recording the audio of the conversation and move to Section B If No start move to Section B without recording audio.

Section B: To be verified from the candidate:

Legend for the column S

- “Yes” – Candidate’s response matches with the column “Data available as per the ERP system”

- “No” - Candidate’s response does not match with the column “Data available as per the ERP system”
- “No response” - Candidate could not answer the question.

B1: Confirming the identity and basic details of the candidate

SI No (P)	Question to be asked(to the candidate) (Q)	Data available as per the ERP system (R)	Validation by the quality personnel (S)
B1.1	What is your Name?(Cross verify with the identity proof attached)	Pre populated	Yes/No/No Response
B1.2	In which PIA did you get trained?	Pre populated	Yes/No/No Response
B1.3	In which trade did you get trained before getting job?	Pre populated	Yes/No/No Response

B2: Details of employment

SI No (P)	Question to be asked (Q)	Data available as per the ERP system (R)	Validation by the quality personnel (S)
B2.1	In which month did you join the first job after completion of training?	pre populated	Yes/No/No Response
B2.2	Did your city of work change during the last 90 days of employment?	pre populated	Yes/No/No Response
B2.3.1	What is the name of the Company/ Organisation in which you had worked in Month1?	pre populated	Yes/No/No Response
B2.3.2	What is the name of the Company/ Organisation in which you had worked in Month2?	pre populated	Yes/No/No Response
B2.3.3	What is the name of the Company/	pre populated	Yes/No/No

	Organisation in which you had worked in Month3?		Response
B2.4	How long have you been working with the current employer?	pre populated	Yes/No/No Response
B2.5	Which place are you currently working in?	pre populated	Yes/No/No Response
B2.6	Where is the place you are currently working located with respect to your nativity?	pre populated	Yes/No/No Response
B2.7	For how many months did you receive the post placement support?	pre populated	Yes/No/No Response

B3: Details of Salary (if the candidate claims for a value greater than the pre populated value then the validation may be considered as 'Yes')

SI No	Question to be asked	Data available as per the ERP system	Validation by quality personnel
B3.1.1	How much did you receive as salary for the Month1?(before PF and ESI deductions and includes incentives & overtime) (in ₹)	pre populated	Yes/No/No Response
B3.1.2	How much did you receive as salary for the Month1?(before PF and ESI deductions and includes incentives & overtime) (in ₹)	pre populated	Yes/No/No Response
B3.1.3	How much did you receive as salary for the Month1?(before PF and ESI deductions and includes incentives & overtime) (in ₹)	pre populated	Yes/No/No Response
B3.2.1	What was the amount deducted from your salary towards PF contribution for Month1?(in ₹)	pre populated	Yes/No/No Response
B3.2.2	What was the amount deducted from your salary towards PF contribution for Month2?(in ₹)	pre populated	Yes/No/No Response
B3.2.3	What was the amount deducted from your salary towards PF contribution for Month3?(in ₹)	pre populated	Yes/No/No

	₹)		Response
B3.3.1	What was the amount deducted from your salary towards ESI contribution for Month1?(in ₹)	pre populated	Yes/No/No Response
B3.3.2	What was the amount deducted from your salary towards ESI contribution for Month2?(in ₹)	pre populated	Yes/No/No Response
B3.3.3	What was the amount deducted from your salary towards ESI contribution for Month3?(in ₹)	pre populated	Yes/No/No Response

B4: Perquisites (if the candidate claims for a value greater than the pre populated value then the validation may be considered as 'Yes')

Sl No	Question to be asked	Data available as per the ERP system	Validation by quality personnel
B4.1.1	Did your employer provide accommodation for you in Month 1?	pre populated	Yes/No/No Response
B4.1.2	Did your employer provide accommodation for you in Month 2?	pre populated	Yes/No/No Response
B4.1.3	Did your employer provide accommodation for you in Month3?	pre populated	Yes/No/No Response
B4.2.1.1	Were you provided breakfast per day during Month 1?	pre populated	Yes/No/No Response
B4.2.1.2	Were you provided lunch per day during Month 1?	pre populated	Yes/No/No Response
B4.2.1.3	Were you provided dinner per day during Month 1?	pre populated	Yes/No/No Response
B4.2.2.1	Were you provided breakfast per day during Month 2?	pre populated	Yes/No/No Response

SI No	Question to be asked	Data available as per the ERP system	Validation by quality personnel
B4.2.2.2	Were you provided lunch per day during Month 2?	pre populated	Yes/No/No Response
B4.2.2.3	Were you provided dinner per day during Month 2?	pre populated	Yes/No/No Response
B4.2.3.1	Were you provided breakfast per day during Month 3?	pre populated	Yes/No/No Response
B4.2.3.2	Were you provided lunch per day during Month 3?	pre populated	Yes/No/No Response
B4.2.3.3	Were you provided dinner per day during Month 3?	pre populated	Yes/No/No Response
B4.2.4.1	Did your employer provide transport facility for you for which expenses were met by him/her during Month 1	pre populated	Yes/No/No Response
B4.2.4.2	Did your employer provide transport facility for you for which expenses were met by him/her during Month 2	pre populated	Yes/No/No Response
B4.2.4.3	Did your employer provide transport facility for you for which expenses were met by him/her during Month3	pre populated	Yes/No/No Response
B4.2.5.1	What are the other facilities that your employer had provided to you for which expenses are met by him/her during Month1?	pre populated	Yes/No/No Response
B4.2.5.2	What are the other facilities that your employer had provided to you for which expenses are met by him/her during Month2?	pre populated	Yes/No/No Response
B4.2.5.3	What are the other facilities that your employer had provided to you for which	pre	Yes/No/No

SI No	Question to be asked	Data available as per the ERP system	Validation by quality personnel
	expenses are met by him/her during Month3?	populated	Response

Section C (to be filled by the quality personnel)

C1: Remarks or suggestions (if any)

C2: Placement decision (to be submitted by the verifying officer who conducted the verification)

C2.1	Is the candidate placed or not?	Placed/ Not Placed
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C3: Details of verification and the verifying officer who conducted the verification

C3.1	Date and time of verification	Auto populated
C3.2	Name	Pre populated
C3.3	Designation	Pre populated
C3.4	Contact no	Pre populated

8.3.2 Cash inflows to the Project Account

As stated earlier Project Account will be repository of all cash inflows utilized for the Project irrespective of the source of funds.

- All funds will be released by CTSA for YPS and SRLM for APS after deduction of income tax at source. The procedures related to Tax Deducted at Source (TDS) are detailed in "SI 8.3D1: Applicability and settlement of TDS".
- Interest earned from the project account, if permitted,
- Loans taken by PIA for the purpose of project –PIA is permitted to bring funds, from its own sources or through the normal banking system, into the Project Account as loan. In such a case, the PIA should only be allowed to book repayment of principal amount as allowable expenditure. Any payment of interest on such funds brought into the Project Account in form of Loan(s) shall not be eligible as allowable expenditure and a PIA shall not book any such payment of interest as expenditure in books of account under a project. This would often apply in cases where PIA has exhausted the funds and subsequent instalment is still not released.
- In respect of CSR Funds/ Funds from other sources, received for the project, it shall be necessary for the PIA to inform the same to the MoRD through the CTSA/SRLM specifying the purpose for which the funds have been received and utilized. Such funds should not lead to double counting of targets. Furthermore, the PIA should have informed all the parties about funds received from MoRD. It shall be the sole responsibility of the PIA to ensure that such funds received are not classifiable as an offence under Chapter II of Prevention of Money Laundering Act, 2002, as amended from time to time.

8.4.5.2 Insurance coverage**Overview**

Item	Description
Purpose	To ensure timely payment of correct amount into a candidate's bank account towards insurance coverage and complete relevant documentation.
Reference to Guidelines	Not Applicable
Prerequisite/s	Starting of a training batch
Time for completion	As per the activity table below
Instructions	SI: 8.4A: Common instruction on payment of entitlements and SI 8.4D: Instructions on One Time Travel support
Process owner	PIA Op Team (Finance)

Activities

Step No.	Activities	Actor	Time for completion	Relevant documents
1.	<ul style="list-style-type: none"> Transfer the correct premium amount for Pradhan Mantri Jeevan Jyoti Bima Yojana (PMJJBY) and Pradhan Mantri Suraksha Bima Yojana (PMSBY) into candidates bank account 	PIA OP Team (Finance)	Not later than 7 day after freezing of a batch	SF8.4E Insurance coverage to candidate
2.	<ul style="list-style-type: none"> Submit auto debit consent form duly signed by candidates, to the bank for enrolment under Pradhan Mantri Jeevan Jyoti Bima Yojana (PMJJBY) and Pradhan Mantri Suraksha Bima Yojana (PMSBY) Explain the insurance and advice candidates not to withdraw the money. 	PIA OP Team	Not later than 10 day after freezing of a batch and not later than two days of money transfer	SF8.4E Insurance coverage to candidate

Note 1. If a PIA transfers the money to a candidate's bank account but the candidate withdraws money then it will be deemed that PIA has done its work properly.

2. The candidates shall be educated that the insurance provided by the PIA is only for a year that ends on 31st May. If candidates want to extend the coverage for subsequent year, they can do so on payment of full annual premium on their own.

8.4.8 Mobile tracking support cost

Overview

Item	Description
Purpose	To ensure Mobile tracking support cost is provided to the all the

Item	Description
	trained candidates as per eligibility.
Reference to Guidelines	Para 3.2.2.16, page 38
Prerequisite/s	Fulfilment of employment condition for that month.
Time for completion	As per the activity table below
Instructions	SI 8.4A: Common instructions on payment of entitlements and SI 8.4G Procedure for payment of mobile tracking support cost to candidates
Process owner	PIA OP Team (Finance)

Activities

Step No.	Activities	Actor	Time for completion	Relevant documents
1.	Provide mobile tracking support to the candidates as per the instructions	PIA OP Team (Finance)	continuous process	SF 8.4H Mobile tracking support Cost
2.	Booking of expenditure on account of Mobile tracking support cost	PIA OP Team (Finance)	Continuous process	

8.8 TRAINING COST AND INCENTIVE PAYMENT

Table 1 of Section 3.2.2.4 of the DDU-GKY Guidelines detail the unit training cost and other cost component that are applicable under the programme. The Guidelines also provide for training to range from 576 hours onwards. 'SI 8.4A1: Rates for payment of training cost, entitlements to the candidates and incentives' details the hourly rates for the training cost and various other cost components.

The incentives as detailed in the Guidelines (retention, career progression and overseas placement) are also consolidated along with the rates in SI 8.4A1.

The training and support cost will be payable as per performance and not expenditure. The prescribed heads are those detailed under item C of SI 8.10B.

8.8.1 Payment of career progression incentive to candidates

Overview

Item	Description
Purpose	To ensure correct and timely payment of career progression

Item	Description
	incentive to the eligible candidates
Reference to Guidelines	Para 3.2.2.9, page 37
Prerequisite/s	Fulfilment of condition for career progression
Time for completion	As per the activity table below
Instructions	SI 8.4A1: Rates for payment of training cost, entitlements and incentive, SI 8.8A: procedure for payment of career progression incentive
Process owner	PIA OP team (Finance)

Activities

Step No.	Activities	Actor	Time completion for	Relevant Documents
1.	Payment of career progression incentive to candidates	PIA OP Team (Finance)	within 5 days of career progression condition	SF 8.8A Retention and career progression support has been paid to Candidates

8.8.2 Payment of retention support incentive to candidates

Overview

Item	Description
Purpose	To ensure correct and timely payment of retention support incentive to the eligible candidates
Reference to Guidelines	Para 3.2.2.8, page 37
Prerequisite/s	Fulfilment of condition for retention
Time for completion	As per the activity table below
Instructions	SI 8.4A1: Rates for payment of training cost, entitlements and incentive, SI 8.8B: procedure for payment of retention support incentive

Item	Description
Process owner	PIA OP team (Finance)

Activities

Step No.	Activities	Actor	Time for completion	Relevant Documents
1.	Payment of retention support incentive to candidates	PIA OP Team (Finance)	within 5 days of retention condition	SF 8.8A Retention and career progression support has been paid to Candidates

SI 8.4A1: Rates for payment of training cost, candidate's entitlements and incentives

The PIAs are permitted to propose training for any duration from 576 hrs onwards. The hourly rates for different cost heads will be as under.

1. Training cost

- Category I trades - ₹ 40.40/- per hour
- Category II trades - ₹ 34.65/- per hour
- Category III trades - ₹ 28.80/- per hour

2. **Uniform Cost:** is not defined on hourly rate basis but on the basis of blocks of training hours. The rate per candidate will be as per table below

Slab	Hours	Rate per trainee
A	Up to 1152	₹ 1000
B	>1152 hours	₹ 2000

3. Food and Transportation cost;

- Eligible rate per hour = ₹15.625 (e. g. ₹9000 (payment for 576 hours training duration)
- Eligibility for 8, 6 and 4 hour duration will be ₹125 ($8 * 15.625$), ₹93.75 ($6 * 15.625$), and ₹62.5 ($4 * 15.625$) respectively.
- The amount payable shall be rounded-up (rounded to the higher number) to the higher rupee during the payment duration.

4. Boarding and Lodging Expenses

Location	Rate per day per candidate (₹)
X category cities	300
Y category cities	250
Z category cities	200
Places other than above	175

- Residential training shall only be Full Time Training (i.e., 8 hours per day of training). There shall be 6 training days in a week. In case of national holidays, state holidays and local festivals, the training can be less than 6 days per week. Part-time and week-end trainings are not covered under residential training.

- ii. Boarding and lodging facilities should be provided on Sundays and holidays. The implementing agency shall be reimbursed for the boarding and lodging facilities provided on these at the same rate given in Table above.
- iii. The number of training days shall be calculated as $(\text{Total training hours}/8) \times (90/72)$. The number of days so arrived should be rounded up (rounded off to the higher number), e.g., 91.1; should be rounded off to 92.

5. Incentives

PIA and candidate can claim incentives as per the table below:

Sl. No.	Incentive category	Rate per candidate (₹)	PIA share	Candidate share
1.	Counselling for trainees placed in foreign countries	10,000	10,000	Nil
2.	Career progression	5,000	3333	1667
3.	Retention support	3,000	2000	1000
4.	Incentives for placement			
	For placement between 70-85%	3000	3000	Nil
		5000		
	For placement above 85%		5000	Nil

5. Assessment and certification costs

6. A PIA is eligible to claim assessment and certification cost per candidate at Rs1500 per candidate or Actual cost incurred whichever is less.

7. Special area allowance

Additional 10% of training cost will be paid to PIA for the training centres situated in special areas. The list of candidates trained in these training centres will be provided by ERP system.

8. Allowance for Persons With Disability (PWD)

Additional 10% of training cost will be paid if a PIA train PWD candidates. The list of PWD candidates trained will be provided by ERP system.

SI 8.3D1: Applicability and settlement of TDS

a. Applicability

Vide Notification no. 275/06/2015-IT (B), dated June 1, 2016 of Ministry of Finance (GoI), the following heads of expenditure are exempt from levy of TDS:

- Uniform
- Tablet computer
- Post placement financial support to the candidate
- Boarding and lodging
- Food and transport
- One time travel cost

Further, as per the notification referred above the following heads are not exempt from levy of TDS:

- Total training costs
- Live distance training support
- Retention support
- Career progression support
- Counselling support including medical check-up for candidates placed in foreign countries

For all above heads, TDS will be levied at the rate prescribed under section 194C of Income Tax Act, 1961,

However if the PIA has a certificate for exemption of TDS issued by department of income tax the entire amount released to PIA may be exempted from TDS deduction as per Income tax Rules in vogue.

b. Settlement

Fund deducted as income tax at the source will not be considered as expenditure under the project. So, it will be considered as unspent fund lying with PIA. Hence, it has to be taken back into the project account anytime within completion of the project or to be adjusted by final installment.

Computation of Tax Deduction at Source (TDS)

S.no	Heads of Expenditure	Proposed Budget am Rs.	Actual Released Amount Rs.	TDS @ prevailing rate	Net Amount transferable to PIA
Heads of Expenditures Exempted from TDS					
1	UNIFORM				
2	TABLET COMPUTERS*				
3	POST PLACEMENT SUPPORT				
4	BOARDING AND LOADING				
5	FOOD & TRANSPORT ALLOWANCE				
6	ONE TIME TRAVEL COST				
7	CANDIDATE'S SHARE IN RENTATION SUPPORT				
8	CANDIDATE'S SHARE IN RENTATION SUPPORT				
9	SUPPORT FOR INDUSTRY INTERNSHIP				
TOTAL AMOUNT EXEMPTED FROM TDS					
Heads of Expenditures not Exempted from TDS					
1	TOTAL TRAINING COST				
2	PIA SHARE RETENTION SUPPORT				
3	PIA SHARE SUPPORT FOR CAREER PROGRESSION				
4	COUNSELLING INCLUDING MEDICAL CHECK-UP FOR TRAINEES PLACED IN FOREIGN COUNTRIES				
5	MOBILE TRACKING SUPPORT COST				
6	ASSESSMENT & CERTIFICATION COST				
7	SPECIAL AREA				

S.no	Heads of Expenditure	Proposed Budget am Rs.	Actual Released Amount Rs.	TDS @ prevailing rate	Net Amount transferable to PIA
	ALLOWANCES				
10	INCENTIVES FOR HIGHER PLACEMENT				
	TOTAL AMOUNT ON WHICH TDS LEVIABLE				

Note: * To be levied on cost at the rate of ₹5,000/- per candidate

SI 8.4D: Instructions on One Time Travel cost

A lump sum financial assistance of ₹4,500/- per candidate is sanctioned to PIAs for providing A. Essential travel facilities and B. Insurance coverage for both residential and non-residential candidates.

1. Essential travel facilities

PIA need to provide the following essential travel facilities to the candidates:

- From usual place of residence* to training centre (for residential candidates only)
- From training centre/ usual place of residence to OJT place
- From OJT place to training centre if OJT is in the middle of training programme
- From OJT/Training centre to usual place of residence
- From OJT/Training centre/usual place of residence to place of 1st employment
- One time travel for emergencies from OJT/Training centre to usual place of residence and back

(*Usual place of residence is normally where the candidate or his family stays. However, if the family has shifted, a candidate can specify a different place as the place of stay)

This One Time Travel Support up to the maximum amount specified in the extant DDU-GKY guidelines may be utilized for any or all of the above mentioned purposes.

Eligibility for travel is defined as follows:

- a) Rail sleeper class of travel including tatkal charges
- b) Bus transport of any public sector undertaking
- c) Private bus transport up to a maximum of twice the rail sleeper fare
- d) If a PIA exercises options other than the above list, fare will be subjected to a maximum of three times of the rail fare (if places are not connected by a rail line road distance can be used for arriving at the rail fare).

In addition, the PIA should provide for food as per the travel time. The schedules for food should be similar to the norms prescribed for mess facilities in Chapter 6. Transit stay, if any, has to be arranged by the PIA and met from this travel grant.

In addition to the travel cost, food and boarding cost while in transit, a PIA would be eligible to book the following expenditure under the head One Time Travel Cost:

- a) Agency charges: Agency charges as permitted or levied by government/public sector organisations is admissible. If the booking is through private agencies equivalent service charges is admissible.
- b) Service tax and cess: Element of service tax, and cess is admissible.
No cancellation charges are admissible. Cancellation charges, if any shall be borne by PIA.

In addition, PIA should ensure the following:

- a) All bookings should be managed by the PIA or an agent authorised by him
- b) All travel should be supported by a statement from the candidates and a travel ticket or voucher
- c) Expenditure incurred towards essential travel support should be booked under the head 'travel facilities' and to be audited by Annual Auditor during annual financial audit and financial audit for project closure.

2. Insurance Coverage

PIA should enrol the candidates under Pradhan Mantri Jeevan Jyoti Bima Yojana (PMJJBY) and Pradhan Mantri Suraksha Bima Yojana (PMSBY) if they are not included already.

PIA should facilitate the candidate in filling up auto debit form for PMJJBY and PMSBY. However, at any point of time if enrolment under these schemes are withdrawn, then the facilities need not be provided. For details PIA can visit: www.jansuraksha.gov.in / www.financialservices.gov.in or call 1800 110 001/1800 180 1111.

Expenditure incurred towards payment of insurance premium should be booked under the head "Insurance coverage". Periodical auditor and SRLM for APS/CTSA for YPS will verify timely payment of correct amount to the candidate's bank account.

SI 8.4G: Procedure for Payment of Mobile tracking support cost to candidates

Candidates who completed training under DDU-GKY will be eligible for the entitlement for 12 months from the month in which they completed the training. Pre conditions for payment of mobile tracking support cost are:

- Candidate should have a valid mobile number.

- PIA should collect the tracking data for the previous month as per SF 7.1B1 and SF 7.1B2.

PIA has to make necessary arrangements with a service provider - who could be either a mobile operator or a retail recharge service provider. PIA should provide an annual statement of expenditure as per SF 8.4H.

SI 8.8A: Procedure for payment of Incentives

Payment of incentives:

1. Retention support per candidate Rs. 5000
2. Career Progression support per candidate Rs. 3000

Payment released to PIAs

At the time of instalment PIA can claim Retention and Career progression support to eligible candidates as referred in Section 7.4.3, Chapter 7.

Payment released to candidates by PIAs:

On receipt of incentives, PIAs shall share the 1/3rd of receipt (eg. per candidate Rs. 1000 for Retention & Rs. 1667 for Career progression) with the eligible candidates.

- Proofs for payment: payment of incentive candidate will be known from one of the following:
 - If payment through electronic mode (NEFT/RTGS, E-Payment etc.) which should be acknowledged by the bank
 - Bank statement of PIA duly marked and certified by PIA;
 - Passbook / bank statement entries with salary receipt transaction of the candidate duly marked and certified by PIA

SF 8.4E Insurance coverage to candidates

S No	Data to be checked in ERP of DDUGKY	Remarks
1	Candidate unique ID	

2	Candidate Name	
3	Earlier Insured under PMSBY (Yes/No)	
4	Earlier Insured under PMJJBY (Yes/No)	
5	Bank account number of candidate	
6	Amount transferred to candidate account	
7	PFMS advise no./NEFT receipt no.	
8	Date of Payment	
9	Auto debit/ Acknowledgement	
10	Remarks	

SF 8.4H Mobile tracking support Cost

As per sanction/ revised sanction order	1. No. of candidates sanctioned	
	2. Cost per candidate	Rs. 50 per candidate per month

Month wise amount spent on the Mobile Tracking cost

Month	Number of candidates	Amount transferred
April		
May		
June		
July		
August		
September		
October		
November		
December		

January		
February		
March		
Total		

Sanctioned Amount		
Expenditure as per Financial statements (in Rs.)		
Amount Recoverable/Payable (in Rs.)		

SF 8.8A Retention and career progression support has been paid to Candidates

S No	Data to be checked in ERP of ddugky
1	Candidate unique Id
2	Candidate Name
3	Bank Name
4	Bank Account no.
5	Amount Rs
6	Date of payment
7	PFMS Print Advice no./NEFT Receipt no.
8	Remarks
9	Upload documents verified (Y/N)