

# RECOGNITION OF PRIOR LEARNING (RPL)

## PENALTY GRID

This Penalty Grid is to inform all Training Providers about the penal action(s) that shall be taken by the Monitoring Committee with respect to the discrepancies observed on the day(s) of surprise visits at the Training Centres for the effective implementation of the Recognition of Prior Learning (RPL) component of PMKVY (2016-20).

S.No.	Compliance Standards	Penalty proposed
<b>1</b>	<b>a) Non-conduct of RPL training at the location mentioned in SDMS</b> <b>b) Candidates not available at the RPL Location</b>	<b>High</b>
	- <b>While batches as per SDMS are in progress</b>	Issuing of a Show-Cause Notice to the PIA with immediate stopping of fund disbursement and issuing of future targets until finalization of decision on PIA's non-compliance
		1) 10 % target or remainder targets, whichever is less, of PIA for the said RPL project target shall be revoked 2) No disbursement for the said batch 3) Any disbursement made earlier for the discrepant batch shall be recoverable and adjustable in future payments to PIA
<b>2</b>	<b>Fake candidates</b>	<b>High</b>
		Issuing of a Show-Cause Notice to the PIA with immediate stopping of fund disbursement and issuing of future targets until finalization of decision on PIA's non-compliance
		1) 10% target or remainder targets, whichever is less, of PIA for the said RPL project target shall be revoked 2) No disbursement for the said batch 3) Any disbursement made earlier for the discrepant batch shall be recoverable and adjustable in future payments to PIA

3	<p><b><u>Unethical Practices</u></b>  <b>If the PIA is found indulging in unethical practices such as offering/demanding undue favors in cash or in kind to a stakeholder like Assessor, in order to influence the outcome of assessment OR with any other malafide intention affecting the outcome of the training</b></p>	High
		Issuing of a Show-Cause Notice to the PIA with immediate stopping of fund disbursement and issuing of future targets until finalization of decision on PIA's non-compliance
		a) A penalty equivalent to disbursement for the all batches at the location shall be recoverable and be adjusted in future payments b) Matter shall be referred to PMC for taking action against PIA
		For subsequent offences: a) A penalty equivalent to disbursement for the all batches at the location shall be recoverable and be adjusted in future payments b) Matter shall be referred to PMC for taking action against PIA
4	<p><b>Intimidating assessor to conduct assessment at a place other than given on SDMS</b></p>	High
		Issuing of a Show-Cause Notice to the PIA with immediate stopping of fund disbursement and issuing of future targets until finalization of decision on PIA's non-compliance

		<p>1) 10% target or remainder targets, whichever is less, of PIA for the said RPL project target shall be revoked</p> <p>2) No disbursement for the said batch</p> <p>3) Any disbursement made earlier for the discrepant batch shall be recoverable and adjustable in future payments to PIA</p>
		<p>For subsequent offences:</p> <p>a) A penalty equivalent to disbursement for the all batches at the location shall be recoverable and be adjusted in future payments</p> <p>b) Matter shall be referred to PMC for taking action against PIA</p>
<b>5</b>	<b>Candidates have not undergone through pre-screening and counselling</b>	<b>Medium</b>
		Issuing of a Show-Cause Notice to the PIA with immediate stopping of fund disbursement and issuing of future targets until finalization of decision on PIA's non-compliance
		A strong warning mail to PIA, for mending its ways as per PMKVY guidelines
<b>6</b>	<b>Unawareness of candidates about RPL or PMKVY</b>	<b>Medium</b>
		Issuing of a Show-Cause Notice to the PIA
		A strong warning mail to PIA, for mending its ways as per PMKVY guidelines
<b>7</b>	<b>No-Distribution of Job Role Kits to the trainees (including t-shirt/Jacket and cap)</b>	<b>Medium</b>
		Issuing of a Show-Cause Notice to the PIA
		Disbursement made for Kits to PIA shall be recoverable and be adjusted in future payments to PIA
		A strong warning mail to PIA, for mending its ways as per PMKVY guidelines

<b>8</b>	<b>Non-Availability of SSC Certified Trainers at the Center</b>	<b>Medium</b>
		Issuing of a Show-Cause Notice to the PIA
		A strong warning mail to PIA, for mending its ways as per PMKVY guidelines
<b>9</b>	<b>Non-Distribution of training material to the candidates</b>	<b>Medium</b>
		Issuing of a Show-Cause Notice to the PIA
		Disbursement made for training material to PIA shall be recoverable and be adjusted in future payments to PIA
		A strong warning mail to PIA, for mending its ways as per PMKVY guidelines
<b>10</b>	<b>Non-Adherence to PMKVY Marketing and Branding Guidelines specified for RPL location</b>	<b>Low</b>
		Issuing of a Show-Cause Notice to the PIA
		A strong warning mail to PIA, for mending its ways as per PMKVY guidelines
<b>11</b>	<b>Any other Offence not listed above</b>	<b>High/Medium/Low</b>
		Any other offence which is not listed above to be categorized as High/Medium/Low offence by the IMC. The IMC to forward the case with comments to the PMC for action.

**Legend:**

	<b>Low Severity Offence</b>
	<b>Medium Severity Offence</b>
	<b>High Severity Offence</b>

## Penal Action on Subsequent Offences

Nature of offence	Low	Medium	High
<b>2nd Offence</b>	Penalty equivalent to disbursement of the concerned batch, which shall be adjustable in future payments to PIA	1) 5% additional targets for the project to be reduced or remainder targets whichever is less 2) No disbursement for the said batch 3) Any disbursement made earlier for the discrepant batch shall be recoverable and adjustable in future payments to PIA	1) 15% Additional targets for the project or remainder targets, whichever is less, to be reduced 2) No disbursement for the said batch 3) Any disbursement made earlier for the discrepant batch shall be recoverable and adjustable in future payments to PIA
<b>3rd Offence</b>	Penalty equivalent to disbursement of the concerned batch, which shall be adjustable in future payments to PIA	1) 10% additional targets for the project to be reduced or remainder targets whichever is less 2) No disbursement for the said batch 3) Any disbursement made earlier for the discrepant batch shall be recoverable and adjustable in future payments to PIA	1) 20% Additional targets for the project or remainder targets, whichever is less, to be reduced 2) No disbursement for the said batch 3) Any disbursement made earlier for the discrepant batch shall be recoverable and adjustable in future payments to PIA
<b>4th Offence</b>	Penalty equivalent to disbursement of the concerned batch, which shall be adjustable in future payments to PIA	1) 15% additional targets for the project to be reduced or remainder targets whichever is less 2) No disbursement for the said batch 3) Any disbursement made earlier for the discrepant batch shall be	1) 25% Additional targets for the project or remainder targets, whichever is less, to be reduced 2) No disbursement for the said batch 3) Any disbursement made earlier for the discrepant batch shall be recoverable and adjustable in future payments to PIA

		recoverable and adjustable in future payments to PIA	
<b>5th Offence</b>	Penalty equivalent to disbursement of the concerned batch, which shall be adjustable in future payments to PIA	<ul style="list-style-type: none"> <li>1) 20% additional targets for the project to be reduced or remainder targets whichever is less</li> <li>2) No disbursement for the said batch</li> <li>3) Any disbursement made earlier for the discrepant batch shall be recoverable and adjustable in future payments to PIA</li> </ul>	<ul style="list-style-type: none"> <li>1) 30% Additional targets for the project or remainder targets, whichever is less, to be reduced and 20% tranche for the complete project which has not been disbursed till date shall be forfeited</li> <li>2) No disbursement for the said batch</li> <li>3) Any disbursement made earlier for the discrepant batch shall be recoverable and adjustable in future payments to PIA</li> </ul>
<b>6th Offence</b>	<ul style="list-style-type: none"> <li>1) 5% additional targets for the project to be reduced or remainder targets whichever is less</li> <li>2) No disbursement for the said batch</li> <li>3) Any disbursement made earlier for the discrepant batch shall be recoverable and adjustable in future payments to PIA</li> </ul>	<ul style="list-style-type: none"> <li>1) 25% additional targets for the project to be reduced or remainder targets whichever is less</li> <li>2) No disbursement for the said batch</li> <li>3) Any disbursement made earlier for the discrepant batch shall be recoverable and adjustable in future payments to PIA</li> </ul>	<ul style="list-style-type: none"> <li>1) Project to be stopped</li> <li>2) No further disbursement of tranche for that Project</li> <li>3) No more targets for six months in the concerned sector</li> <li>4) No disbursement for the said batch</li> <li>5) Any disbursement made earlier for the discrepant batch shall be recoverable and adjustable in future payments to PIA</li> </ul>

<p><b>7th Offence</b></p>	<p>1) 10% additional targets for the project to be reduced or remainder targets whichever is less  2) No disbursement for the said batch  3) Any disbursement made earlier for the discrepant batch shall be recoverable and adjustable in future payments to PIA</p>	<p>1) 30% additional targets for the project to be reduced or remainder targets whichever is less  2) No disbursement for the said batch  3) Any disbursement made earlier for the discrepant batch shall be recoverable and adjustable in future payments to PIA</p>	<p>Blacklist the PIA for 1 year/ other than when the SSC is PIA  SSC not to be given RPL targets for next 12 months</p>
<p><b>8th Offence</b></p>	<p>1) 15% additional targets for the project to be reduced or remainder targets whichever is less  2) No disbursement for the said batch  3) Any disbursement made earlier for the discrepant batch shall be recoverable and adjustable in future payments to PIA</p>	<p>1) Remainder targets for the project shall be revoked and 20% tranche for the complete project which has not been disbursed till date shall be forfeited  2) No disbursement for the said batch  3) Any disbursement made earlier for the discrepant batch shall be recoverable and adjustable in future payments to PIA</p>	
<p><b>9th Offence</b></p>	<p>1) 20% additional targets for the project to be reduced or remainder targets whichever is less  2) No disbursement for the said batch  3) Any disbursement made earlier for the discrepant batch shall be recoverable and adjustable in future payments to PIA</p>	<p>1) Project to be stopped  2) No further disbursement of tranche for that Project  3) No more targets for six months in the concerned sector  4) No disbursement for the said batch  5) Any disbursement made earlier for the discrepant batch shall be recoverable and adjustable in future payments to PIA</p>	

<p><b>10th Offence</b></p>	<p>1) 25% additional targets for the project to be reduced or remainder targets whichever is less  2) No disbursement for the said batch  3) Any disbursement made earlier for the discrepant batch shall be recoverable and adjustable in future payments to PIA</p>	<p>Blacklist the PIA for 1 year/ other than when the SSC is PIA  SSC not to be given RPL targets for next 12 months</p>	
<p><b>11th Offence</b></p>	<p>1) 30% additional targets for the project to be reduced or remainder targets whichever is less  2) No disbursement for the said batch  3) Any disbursement made earlier for the discrepant batch shall be recoverable and adjustable in future payments to PIA</p>		
<p><b>12th Offence</b></p>	<p>1) Remainder targets for the project shall be revoked and 20% tranche for the complete project which has not been disbursed till date shall be forfeited  2) No disbursement for the said batch  3) Any disbursement made earlier for the discrepant batch shall be recoverable and adjustable in future payments to PIA</p>		



<b>13th Offence</b>	1) Project to be stopped 2) No further disbursement of tranche for that Project 3) No more targets for six months in the concerned sector 4) No disbursement for the said batch 5) Any disbursement made earlier for the discrepant batch shall be recoverable and adjustable in future payments to PIA		
<b>14th Offence</b>	Blacklist the PIA for 1 year/ other than when the SSC is PIA SSC not to be given RPL targets for next 12 months		

# Target Revocation Matrix- Recognition of Prior Learning

Conditions		Project timeline with actions to be taken				
Percentage of Enrolled Candidates on target allocated	Percentage of Certified Candidates on enrolled candidates	T+90	T+180	T+270	T+360	T+450
<25%	<75%	Warning	10% of the project target allocated or balance targets, whichever is lower, will be revoked	20% of the project target allocated or balance targets, whichever is lower, will be revoked	Project closed	N/A
25% to 49.9%	<75%	N/A	Warning	10% of the project target allocated or balance targets, whichever is lower, will be revoked	20% of the project target allocated or balance targets, whichever is lower, will be revoked	Project closed
50% to 74.9%	<75%	N/A	N/A	Warning	10% of the project target allocated or balance targets, whichever is lower, will be revoked	Project closed

**Note:**

1. 'T' is the day of on-boarding into the SDMS
2. The condition for enrolment and certification is AND based.
3. Target revoked are from the total allocated targets of the PIA
4. The matrix will be applicable on case to case basis
5. This matrix will be applicable on the on-going projects. However, before target revocation, PIAs will be issued warning or show cause notices.
6. Some of the TPs might be defaulters as the payments or action items are pending at NSDC, these TPs will be considered accordingly
7. The revocation and penalty matrix by the Monitoring team will be applicable side by side with this revocation matrix.
8. The review timeline of 90, 180, 270, 360 & 450 is for a project of duration being 1 year and the same ratio will apply to projects with different durations
9. The Monthly Performance Report (MPR) and the certification ceremony photo upload timelines (conditions for releasing Tranche 2 payment) will also be tracked alongside the project timeline mentioned above