

# **Guidelines for Special Projects**

Revised up till July 2, 2018

**under**

**Pradhan Mantri Kaushal Vikas Yojana (PMKVY)  
(2016-2020)**

## Abbreviations and Acronyms

AA	Assessment Agency
AEBAS	Aadhar Enabled Biometric Attendance System
Gol	Government of India
J&K	Jammu and Kashmir
LWE	Left Wing Extremism
MLA	Member of Legislative Assembly
MSDE	Ministry of Skill Development and Entrepreneurship
N-E	North-East
NCVT	National Council on Vocational Training
NOS	National Occupational Standard
NSDC	National Skill Development Corporation
NSQF	National Skills Qualification Framework
PAF	Project Application Form
PAN	Permanent Account Number
PMC	PMKVY Monitoring Committee
PMKVY	Pradhan Mantri Kaushal Vikas Yojana
PMU	Project Management Unit
PwD	Persons with Disability
QP	Qualification Pack
RPL	Recognition of Prior Learning
SDMS	Skill Development Management System
SPIA	Special Project Implementing Agencies
SSC	Sector Skill Council
TC	Training Centre
ToT	Training of Trainer
UGC	University Grant Council

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## 1. Objective of Special Projects

The major objective of Special Projects under Pradhan Mantri Kaushal Vikas Yojana (PMKVY) is to encourage trainings to vulnerable and marginalised groups of society in types, locations, formats, institutional settings, or premises of government bodies, corporates and industry bodies that may deviate from the existing course of training type, implementation and mechanism, as specified under the Short Term Training component under PMKVY.

The objective of the Special Projects is to create innovative, critical, creative and practical projects that have the potential to impact various marginalised, vulnerable, socially disadvantaged, hidden and hard-to-reach population of the society through placement-linked and entrepreneurial skill development trainings. These projects call for participation of each of the stakeholders for a time-bound training and capacity building programmes to prepare the marginalised sections of the society to be able to contribute in the mainstream economy of the Country.

## 2. Definition of Special Projects

2.1 Special Projects under PMKVY shall be defined as project proposals of any of the following nature.

- a. Project proposals for training candidates in job roles that are outside the purview of the existing PMKVY job roles. However, the course curriculum for such project proposals needs to be approved by the concerned Sector Skill Council (SSC) in consultation with Special Project Implementing Agencies (SPIA); and the concerned SSC would be responsible for the development of the Qualification Pack (QP), National Occupational Standard (NOS), model content, and trainee handbooks for the training.
- b. Project proposals focussing on skill development training, certification, and placement programmes by registered organisation for captive employment or wage employment. Industry leaders or corporate bodies shall be the SPIA and must ensure at least 80% placement in its enterprise or its member enterprises. In case the SPIA is not a corporate body or industry leader providing captive placement, SPIA to provide at least 90% wage employment. Training shall be conducted in their manufacturing units, offices or any other operational premises. Target beneficiary shall be unemployed at the time of mobilisation. Human Resource compliance cost related to SPIA, such as employee insurance, medical insurance, recruitment cost or any other induction/orientation cost, shall not be funded or supported in any way by National Skill Development Corporation (NSDC) under PMKVY 2016-2020. Co-branded certificates may be issued in such cases. *(Alteration updated as per 9<sup>th</sup> PMKVY Steering Committee)*
- c. Project proposals in skill development training and certification programmes in internationally recognised job roles
- d. Skill development training programmes conducted in varied institutional settings, for example jail premises, premises of government institutions such as a Governor House, employer premises, and others
- e. Proposals for training candidates via part-funding through PMKVY and remaining fund support from another organisation/s

- f. Proposals targeted towards skill development training for building business linkages to promote micro-entrepreneurship
- g. Projects that cover job roles under National Skills Qualification Framework (NSQF) Levels 1-5; however, the project proposals targeted in job roles beyond NSQF Level 4 may be considered for approval on case to case basis
- h. Any other category, depending on case to case basis.

Projects will be completely aligned to the Common Norms, as notified and amended from time to time. However, necessary deviation in projects may be permitted on approval by the Steering Committee or any other committee authorized by Steering Committee. *(Alteration updated as per 9<sup>th</sup> PMKVY Steering Committee)*

Any deviation needs to be clearly defined in the project proposal and supported with a justification for the same.

2.2 Project proposals focused on conducting training in job roles that do not have a defined or existing QP or NOS must be approved by the concerned SSC.

The Following timelines must be adhered to regarding approvals.

S. No	Action item	Timeline	Responsibility
1	SSC to accord its consent/ dissent towards support of project proposed by SPIA along with a justification in writing to NSDC	Within 7 days of the receipt of the proposal from NSDC	SSC
2	SPIA to submit the model course curriculum to SSC (for Job roles without existing QPs) along with a copy of the project proposal	Within 2 days of receiving the consent for project proposal from SSC	SPIA
3	SSC to assist and guide the SPIA in proposal building activity for training programs where job roles have defined QPs but does not have model content, trainee handbooks, and list of equipment ready	Within 21 days of the consent accorded by the SSC for the proposed project	SSC
4	In case of the training programme proposed in job roles for which QPs are non-existent, SSC to: <ul style="list-style-type: none"> <li>i. Review the proposed model course curriculum submitted by the SPIA</li> <li>ii. Align with the nearest matching QP</li> <li>iii. Undergo customisation of job role in cases where majority of the proposed content seems aligned to an existing QP</li> <li>iv. Develop new QP and NOS, model content, trainee handbook, and list of equipment for the proposed job</li> </ul>	Within 45 days of the consent accorded by the SSC for the proposed project/within 45 days of the receipt of the detailed curriculum from the PIA, whichever is later	SSC

S. No	Action item	Timeline	Responsibility
	role		

### 3. Eligibility of Special Project Implementing Agency

The proposing stakeholders/ project applicants can be institutions of Central and State Government(s), autonomous bodies, statutory bodies, or any other equivalent body or corporates\* that desire or intend to provide short-term training to candidates, hereafter referred to as the Special Projects Implementing Agency (SPIA) for special projects component of PMKVY. The SPIA needs to clearly identify and indicate a rationale for consideration of the concerned project as a Special Project under PMKVY (2016-2020) in line with the guidelines. The SPIA is required to submit the project proposal in the prescribed Project Application Form (PAF).

The SPIA shall either be a registered entity under the Indian Trusts Act 1882, Indian Companies Act 2013, any State Society Registration Act, any State Cooperative Societies or Multi-State Cooperative Act or the Limited Liability Partnerships Act 2008, or a government/ semi-government entity working at the State or national level.

\* Regular or contractual staff of corporates will not be considered as candidates for training under Special Projects.

1. The SPIA should have more than three (3) years of incorporation at the time project proposal is submitted to NSDC with at least one (1) year of experience in the proposed sector(s) and
2. The SPIA should have an average annual turnover of last 3 Financial Years that is at least 25% of the Total proposed project cost.
3. The SPIA should have a positive net worth for the last two consecutive financial years as negative net worth implies that the financial situation of the PIA is precarious which can hamper its ability to implement the project.
4. The SPIA cannot submit more than two Special Projects in a year including rejected proposal(s).
5. Minimum two months gap from the date of return of proposal to resubmission of a returned or rejected proposal

*(Alteration updated as per 22<sup>nd</sup> PMKVY Executive Committee)*

### 4. Target Beneficiaries

The PMKVY scheme is applicable to any candidate of Indian nationality with the following conditions:

- a. The candidate must possess an Aadhaar Card and have an active bank account.

- b. A verifiable alternative ID proof to Aadhaar Card, such as PAN or Voter ID, is applicable only for the states of North-East Region and J&K (additional IDs may be added from time to time).
- c. Amendments to acceptable ID proofs may be made time and again, as required. The same shall be communicated to the SPIAs accordingly.
- d. The candidate must fulfil any other criteria, as defined by the Sector Skill Councils (SSC) for the respective job roles
- e. Preference may be given to unemployed, school/college dropouts, and/or persons belonging to marginalised social groups, women, persons with disability, and those belonging to the BPL category.
- f. In case of corporates or factory premises, candidates cannot be their own employees or daily wagers. Regular or contractual staff will not be considered as candidates for training under Special Projects.

#### **4. Training Venue**

- a. It is the responsibility of SPIA to make arrangements for necessary training infrastructure and required laboratory/equipment at the training venue, as per the requirements defined by respective SSC(s) for the identified job roles.
- b. SPIA would be required to register on SMART portal and submit the CAAF form for the training centre prior to onboarding of the centre on SDMS. Exceptions to this could be sanctioned on a case to case basis by the Executive Committee. *(Alteration updated as per 22<sup>nd</sup> PMKVY Executive Committee)*

#### **5. Curriculum and Standards**

- a. SPIAs need to follow the course curriculum as prescribed by the concerned SSC for the job role.
- b. SPIAs shall clearly specify the total duration of training in terms of number of hours among other details, as per the requirements mentioned in the PAF.
- c. In case the SPIA proposes “self-employment” as placement of trained candidates, it is required to submit acknowledgement letter from the concerned SSC, justifying the same for the proposed job role.
- d. The concerned SSC shall assist and guide the SPIAs in the proposal building activity. The SSC shall also provide an approval letter to provide its consent.
- e. The SSC shall undertake development of QP for a new job role and align it with NSQF, develop model content, trainee handbooks, and list of required equipment on case to case basis. The same shall include review and validation of the proposed course content, fixation of adequate training duration (in terms of total hours and number of hours per day) and training expenses. Timelines defined in Section 2.2 are must be adhered to.
- f. The SSC shall also indicate the type and number of equipment and/or training material required for new job roles.
- g. The SSC shall define the common norms category of the new job roles.

#### **6. Mobilization of Candidates**

- a. The SPIA will be responsible for mobilisation of trainees.
- b. The SPIA shall specify a clear mobilisation strategy in the identified locations.
- c. The SPIA may also engage a mobilizing agency, if required. However, the proposed mobilising agency must have at least 1 year of credible experience in mobilisation of beneficiaries, especially for skill development programmes.
- d. The SPIA will be responsible to provide induction kit, necessary tool kits, and other required accessories to the trainees.
- e. All costs pertaining to mobilisation per trainee shall be defined clearly in the PAF. Mobilisation cost shall not exceed INR 500 per candidate or 5% of the total payout to the SPIA, whichever is lower. The SPIS must also provide justification for the mobilisation cost. The SPIA shall submit relevant cost calculation details in the PAF.
- f. If any agency/organisation other than SPIA or SPIA-sponsored agency is involved for mobilisation of candidates, then the amount for mobilisation will not be considered.

## 7. Enrolment of Candidates

- a. SPIAs shall be responsible for entering details of the candidates on Skill Development Management System (SDMS)
- b. It is mandatory for all the candidates enrolled under PMKVY to have a valid Aadhar ID or any other verifiable alternate ID, such as PAN or Voter ID in case of states of North-East Region and J&K.

## 8. Trainings

- a. SPIAs need to coordinate with the concerned SSC to provide training to candidates in accordance with the relevant QP for the approved job role.
- b. Project proposals with a minimum 1,000 targets will be preferred under Special Projects.
- c. Each training shall be of a certain minimum duration, as specified in the QP specified for the job role. The minimum number of training hours for non-residential course is 4 hours/day; and the minimum number of training hours for residential course is 8 hours/day or 48 hours/week.
- d. Soft skills, digital literacy, financial literacy, and entrepreneurship module are mandatorily part of all trainings.
- e. Any additional training required by the SPIA for a particular job role may also be provided. However, the cost of such training is to be borne by SPIA.
- f. All costs pertaining to core training per candidate shall be defined in the project proposal.
- g. SPIA's may take the help of other organisations to facilitate the trainings. The exact break down of responsibilities between the SPIA and the facilitators must be made known to NSDC while submitting the proposal. The facilitators should not further sublet responsibilities to another agencies. However, the responsibility for all aspects related to project will continue to be that of the SPIA. *(Alteration updated as per 22<sup>nd</sup> PMKVY Executive Committee)*



- h. All trainings will take place with Aadhar-enabled Biometric Attendance System (AEBAS), except for the trainings conducted in North-Eastern states and Jammu & Kashmir. However, if training is conducted in states other than North-Eastern states and Jammu & Kashmir, but the candidates belong to N-E or J&K, the SPIA needs to facilitate creation of Aadhar IDs for such candidates before their enrolment.
- i. Trainers with qualification/ experience suitable to the proposed job role must be hired and each trainer shall have undergone a Training of Trainers (ToT).
- j. SPIA shall submit the latest and labelled photographs of the training venue along with the project proposal, indicating the available infrastructure and training aids. The SPIA is also required to share photographs of the training on the first day of the training. Appropriate action may be taken against the SPIA by the MSDE/ NSDC if it fails to share the required photographs within a week of the start of the training programme.

## **9. Assessment**

- a. Assessments will be conducted by the empanelled assessment agencies, identified by respective SSCs. Responsibility of assigning assessment agency for a project lies with the SSC.
- b. The assessment criteria for the new job roles and QP/NOS shall be strictly defined by the SSC.
- c. For training programmes in job roles with non-existent QPs, the SSC shall identify the assessment criteria, the assessment agency, competent assessors, and training for assessors. SSC shall also streamline the assessment criteria and requirement of assessors for the concerned locations.
- d. Detailed assessment criteria, including the past performance of the assessment agency, level of technology interventions in assessments and other suitable criteria along with details of assessment agency, must be specified clearly in the PAF.
- e. Assessor must be certified by the respective SSC and should have a valid Aadhar ID for conducting assessments. The assessor must be able to produce the Aadhar card at the time of conducting the assessment. For the states of North-East and J&K, any other verifiable alternate ID, such as PAN or Voter ID, may be acceptable.
- f. Videography of assessment is mandatory and video clips must be saved for a minimum period of 6 months by the SPIA and SSC.

## **10. Re-assessment of Candidates**

A failed or a dropped candidate can undergo re-assessments. SPIA shall pay the assessment fees upfront to the respective SSC or the /Assessment Agency for re-assessing a candidate.

## **11. Certification**

- a. The respective SSCs or National Board for Skill Certification for skill certification will issue certificates to the successful candidates in the particular job role.
- b. SPIAs shall conduct a Certificate and Mark-sheet Distribution Ceremony for candidates. The SPIA needs to ensure presence of each candidate in the ceremony.
- c. The candidates shall wear the standard PMKVY T-shirt/ Jacket/ Cap during the ceremony.
- d. High resolution pictures and videography of the Certificate and Mark sheet Distribution Ceremony is required, including batch-wise photos of the candidates. SPIAs are required to upload images and videos on the portal designated by NSDC.

## 12. Payouts

- a. Payouts will adhere to the Common Norms and will be disbursed on approval of the project proposal. The base costs for training in job roles defined by the SSCs shall strictly adhere to the Common Norms. The final Project cost will vary basis PMKVY Executive Committee approvals.
- b. The payments will be made in the following manner:

Instalment	% of Total Cost	Output parameters
1 <sup>st</sup>	30%	On batch approval by SSC on SDMS
2 <sup>nd</sup>	50%	On successful certification of the trainees and submission of the following evidences of the Certificate Distribution Ceremony: a. Batch-wise photos of the candidates with certificates b) Video of the certificate distribution ceremony
3 <sup>rd</sup>	20%	On successful placement of trainees in accordance with the guidelines and submission of relevant proofs, or as case to case basis for projects where placement will not be possible

- c. Any deviation in the output parameters must be defined in the project proposal. The same may be considered for approval by the PMKVY Executive Committee.
- d. The SPIA will be required to open a separate bank account or provide the existing bank account for Special Projects, through which all transactions related to the project will be executed. The account will be subject to audit by the NSDC authorized agency and/or CAG, as and when required (*Alteration updated as per 22<sup>nd</sup> PMKVY Executive Committee*)
- e. The payouts will be calculated based on the number of training days and two days of assessment. The training period will be calculated on the basis of the number of hours of training in a day (at least 4 hours in a day).
- f. In case of residential batches, the training period would be calculated on the basis of 8 hours per day and 6 days a week-

### 13.1 Boarding and Lodging Payouts

An allowance for boarding and lodging up to a maximum per trainee per day will be provided as per the table below:

Category of District	Amount
X category districts – per day per trainee	INR 300
Y category districts – per day per trainee	INR 250
Z category districts – per day per trainee (every district which is NOT X or Y)	INR 200

The list of districts/cities falling under the X and Y categories is provided in the PMKVY Short Term Training Guidelines. Categories are subject to change, as defined by DoPT, Government of India. The boarding and lodging allowance will be provided to the candidates from the North-East region and J&K, LWE and special areas under the following conditions:

- Candidate from J&K and NE (all 8 states) has moved out of the region for training
- Candidate from the LWE WA regions has moved outside their district for training
- Candidates residing in special areas have moved out of the region
- PWD candidates undertaking residential course will be paid, irrespective of the region

### 13.2 Post-Placement Support

In order to help the successfully certified candidates to settle into their new jobs/vocations, post-placement support would be provided directly to them as mentioned in the tables below. *(Alteration updated as per 8th PMKVY Steering Committee)*

Element of Cost	As Per PMKVY Guidelines		
Post Placement Support	<b>Eligibility Criteria</b>	<b>Women</b>	Post placement support is applicable for special groups comprising of women, PWD, and transgender.
	Placement within the District of Domicile	2 months	Rs. 1,500 per month
	Placement outside the District of Domicile	3 months	Rs. 1,500 per month

Element of Cost	Description	As Per PMKVY Guidelines	
Post Placement Support for PwD candidates	<b>Eligibility Criteria</b>	<b>Men/Women</b>	Note: Post placement support for PwD candidates
	Placement within the District of Domicile	2 months	Rs. 3000 per month
	Placement outside the District of Domicile	3 months	Rs. 3000 per month

The district mentioned in the candidates' Aadhaar Card or alternate ID (applicable only for candidates from NE and J&K) would be considered as their District of Domicile.

This amount shall be transferred to the bank account of the candidate, subject to satisfactory verification by NSDC. Post-placement support is applicable for special groups comprising women, PWD and candidates in special areas. The support is applicable only for wage employment. The PMKVY Special Project may adopt more stringent guidelines than the ones specified in the Common Norms.

### 13.3 Conveyance Support

Upon successful completion and certification of the non-residential skill training programmes, all women candidates and PWD will be provided an allowance for expenses incurred in travelling to and from the TC, as per the table below.

Conveyance Support per month	Amount (in INR)
1. Training Centre within the District of Domicile	1000
2. Training Centre outside the District of Domicile	1500

The district mentioned in the candidates' Aadhaar card or alternate ID (applicable only for candidates from NE and J&K states) would be considered as their District of Domicile.

### 13.4 Transportation Cost

Upon successful completion and certification of the skill training programmes, all NE candidates will be provided an allowance for the expenses incurred in transportation to and from the TC location, as per the table below

Transportation Cost	Amount (in INR)
To and Fro Charges for trainees from N-E undergoing training outside the districts of NE	2,000
For Certified PwD candidates (Alteration updated as per 8 <sup>th</sup> PMKVY Steering Committee)	5,000

## 13. Placement

- a. In case SPIA is a corporate or industry body, it has to clearly specify the prospective requirement of candidates against each job role.

- b. In case SPIA is a corporate or industry body, it must ensure that at least 80% of the successfully certified candidates shall be placed in jobs that provide wages equivalent to or above the prescribed minimum wages. Such candidates should continue to be in job for a minimum period of three months from the date of placement in the same or a higher level with the same or any other employer. Captive placements are encouraged from corporate/industry bodies.
- c. SPIA will provide placement tie-up letters or any such relevant documents indicating support from prospective employers on the letterhead, clearly highlighting the prospective requirement of manpower in the concerned job roles. These documentary proofs have to be attached with the project proposal.
- d. In case SPIA is a government institution or not-for-profit organization or other private non-industry entity, it must ensure that at least 70% of successfully certified candidates shall be placed in jobs. Further, a minimum of 50% of such 70% candidates must be placed in wage employment and receive wages equivalent to or above the prescribed minimum wages.
- e. For projects which have been approved on placement criteria i.e. 80% captive placement or 90% wage employment, in case required captive placement or required wage employment condition is not met, no third tranche payment of 20% pay-out will be released. In addition to this no yearly incentive payment will be made to special projects approved on placement criteria (*Alteration updated as per 10<sup>th</sup> PMKVY Steering Committee*)
- f. Going forward for projects which have been approved on placement criteria, the third tranche will be raised to 30%. (*Alteration updated as per 10<sup>th</sup> PMKVY Steering Committee*)
- g. Non-adherence to the placement clause will attract financial liability on the SPIA, which is to be decided on case to case basis by PMKVY Executive Committee.
- h. For all the projects, parameters for impact assessment shall be outlined before project initiation in consultation with NSDC. An Impact Assessment Report/Process documentation has to be submitted by SPIA at the end of the project, clearly outlining the scope of scalability and sustainability. The Impact Assessment Agency will be a third party as selected by the authorised committee of NSDC.
- i. SPIA will also provide handholding support to the candidates opting for self-employment, in setting up of self-help groups and promotion of micro-entrepreneurship. In cases of micro-entrepreneurship, SPIA must tie up with various local organizations and/or retailers to generate sector specific backward and forward linkages. Relevant documentary proofs indicating tie-ups with the local organizations/retailers must be submitted along with the proposal.

## **14. Project Cost**

- a. SPIA will indicate the total cost for the proposed project in the Project Application Form (PAF).
- b. SPIA will submit the project expenses in line with the common norms as hourly rates for the relevant types of trade. Preference will be given to the projects with better cost output ratio.

- c. SPIA will clearly provide the cost calculation details of the proposed costs for each expense head in the PAF. Project financials are to be submitted in terms of resource requirements, associated costs along with justification and supporting documents for each cost head.
- d. In projects where utilization of government-owned infrastructure, equipment, trainers supported by other projects or government agencies is involved, such costs shall not be considered in project financials. Accordingly, in cases where targeted beneficiaries have been identified beforehand, the cost of mobilisation shall not be covered under the project financials. Further, the cost of construction of building shall not be applicable in project financials.
- e. Salaries of master trainers, assistant trainers, lab assistants and other personnel involved directly in imparting of training shall be considered under project financials. Management fees, partner fees, and salaries of the Board of Directors or trustees, will not form part of project financials. Administrative costs cannot exceed 5% of the total payout to the SPIA.
- f. It is in the applicant's interest to provide a **realistic and cost effective budget proposal**.

## **15. Monitoring**

- a. All the trainings conducted under Special Projects component of PMKVY are to be supported by Aadhaar-enabled biometric attendance system (AEBAS).
- b. Implementation of the training project by an SPIA will be subject to monitoring under the PMKVY scheme. SPIA must be willing to declare the accounts and bank statements (pertaining to the project) to the government and/or government/NSDC-appointed CAG auditors at any time during and after completion of the project.
- c. The training programmes of the SPIAs shall be open to onsite monitoring and random physical verification visits by the NSDC-appointed agency.
- d. SSCs shall be actively involved in monitoring of ongoing training programmes at various stages of implementation.
- e. Monitoring parameters and agency for monitoring will be decided on case to case basis by the PMKVY Executive Committee. The cost of monitoring will not be included in the project cost. It would be paid directly to the concerned agency by NSDC.
- f. The implementing agency/coordinating agency will be required to submit the progress reports in the given formats from time to time.

## **16. Auditing**

The Ministry of Skill Development and Entrepreneurship and NSDC retain the right to carry out internal audit of funds and financials related to the project from time to time, as deemed necessary.

## **17. Branding and Communication**

- a. SPIA will be responsible for marketing and advocacy of PMKVY at all instances, such as during the induction and orientation of candidates, commencement of training programmes, assessments, and publicity through print and digital media.

- b. SPIA will be responsible for arrangement of the necessary collaterals for branding and communication.
- c. SPIA shall submit details of costs in relation to branding and communication (supported by cost calculations) in the PAF.
- d. SPIA has to abide by PMKVY Branding Guidelines for branding and communication collaterals. Any addition to the above-mentioned guidelines shall require prior approval of the PMKVY branding team. Any deviation from the norms may result in cancellation of the project or penalty, as decided by the MSDE/ NSDC.
- e. All the latest communication and branding collaterals will be exclusively available on the PMKVY website (<http://www.pmkvyofficial.org/>).

## Annexure - Penalty Grid and Revocation Matrix for Special projects

Annexure I: Penalty Grid for Special Projects (As approved in 10<sup>th</sup> PMKVY Steering Committee)

S.No	Compliance Standards	Penalty proposed
<b>1</b>	<b>Non Existence of the Centre</b>	<b>High</b>
	<b>- While batches as per SDMS are in progress</b>	a) Issuing of a Show-Cause Notice to the SPIA with immediate stopping of fund disbursement and remaining target for the project until finalization of decision on SPIA's non-compliance
		If proven guilty by IMC -Action for 1st offence shall be as mentioned below 1) Refer to Target Reduction Calculations sheet for target reduction numbers for 'First Offence - High' 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 Enrolments / Ghost candidates</b>	<b>High</b>
		Issuing of a Show-Cause Notice to the SPIA with immediate stopping of fund disbursement and remaining target for the project until finalization of decision on SPIA's non-compliance
		If proven guilty by IMC -Action for 1st offence shall be as mentioned below <b>1) Refer to Target Reduction Calculations sheet for target reduction numbers for 'First Offence - High'</b> 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



S.No	Compliance Standards	Penalty proposed
3	<b>Non Availability of required infrastructure /tools and equipment for each job role post inspection</b>	<b>High</b>
	- <b>While batches as per SDMS are in progress</b>	Issuing of a Show-Cause Notice to the SPIA with immediate stopping of fund disbursement and remaining target for the project until finalization of decision on SPIA's non-compliance
		If proven guilty by IMC -Action for 1st offence shall be as mentioned below <b>1) Refer to Target Reduction Calculations sheet for target reduction numbers for 'First Offence - High'</b> 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
4	<b>Unethical Practices</b> <b>If the Training Centre is found indulging in unethical practices such as offering/demanding undue favours 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>	<b>High</b>
		Issuing of a Show-Cause Notice to the SPIA with immediate stopping of fund disbursement and remaining target for the project until finalization of decision on SPIA's non-compliance

S.No	Compliance Standards	Penalty proposed
		If proven guilty by IMC -Action for 1st offence shall be as mentioned below <b>1) Refer to Target Reduction Calculations sheet for target reduction numbers for 'First Offence - High'</b> 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
5	<b>a) Centre was closed at the time of visit            b) Training not being conducted at the time of visit</b>	<b>High</b>
	<b>- While batches as per SDMS are in progress</b>	Issuing of a Show-Cause Notice to the SPIA with immediate stopping of fund disbursement and remaining target for the project until finalization of decision on SPIA's non-compliance
		If proven guilty by IMC -Action for 1st offence shall be as mentioned below <b>1) Refer to Target Reduction Calculations sheet for target reduction numbers for 'First Offence - High'</b> 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
6	<b>Mass enrolments</b>	<b>High</b>
		Issuing of a Show-Cause Notice to the SPIA with immediate stopping of fund disbursement and remaining target for the project until finalization of decision on SPIA's non-compliance
		If proven guilty by IMC -Action for 1st offence shall be as mentioned below <b>1) Refer to Target Reduction Calculations sheet for target reduction numbers for 'First Offence - High'</b>

S.No	Compliance Standards	Penalty proposed
		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
7	<b>Intimidating assessor to conduct assessment at a place other than authorized by SMART</b>	<b>High</b>
		Issuing of a Show-Cause Notice to the SPIA with immediate stopping of fund disbursement and remaining target for the project until finalization of decision on SPIA's non-compliance
		If proven guilty by IMC -Action for 1st offence shall be as mentioned below <b>1) Refer to Target Reduction Calculations sheet for target reduction numbers for 'First Offence - High'</b> 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
8	<b>Non Availability of required infrastructure /tools and equipment for each job role post inspection- However, mandatory equipment is present at the centre</b>	<b>Medium</b>
	<b>- While batches as per SDMS are in progress</b>	Issuing of a Show-Cause Notice to SPIA
		Warning Mail to be issued to the SPIA to comply with the PMKVY 2016-20 guidelines

S.No	Compliance Standards	Penalty proposed
		If proven guilty by IMC -Action for 1st offence shall be as mentioned below 1) No disbursement for the said batch 2) Any disbursement made earlier for the discrepant batch shall be recoverable and adjustable in future payments to PIA
9	<b>Non Availability of SSC Certified Trainers at the Centre.</b>	<b>Medium</b>
	<b>Exemption to be provided if the trainer has been formally nominated for the ToT and the ToT is pending from SSC's end</b>	Issuing of a Show-Cause Notice to SPIA
		Warning Mail to be issued to the SPIA to comply with the PMKVY 2016-20 guidelines
		If proven guilty by IMC -Action for 1st offence shall be as mentioned below 1) No disbursement for the said batch 2) Any disbursement made earlier for the discrepant batch shall be recoverable and adjustable in future payments to PIA
10	<b>Non Distribution of Induction Kits to the trainees</b>	<b>Medium</b>
		Issuing of a Show-Cause Notice to SPIA
		Warning Mail to be issued to the TP to comply with the PMKVY 2016-20 Guidelines.
		If proven guilty by IMC -Action for 1st offence shall be as mentioned below 1) No disbursement for the said batch 2) Any disbursement made earlier for the discrepant batch shall be recoverable and adjustable in future payments to PIA
11	<b>Non Distribution of Handbook to the</b>	<b>Medium</b>

S.No	Compliance Standards	Penalty proposed
	<b>trainees</b>	
		Issuing of a Show-Cause Notice to SPIA
		Warning Mail to be issued to the SPIA to comply with the PMKVY 2016-20 guidelines
		If proven guilty by IMC -Action for 1st offence shall be as mentioned below 1) No disbursement for the said batch 2) Any disbursement made earlier for the discrepant batch shall be recoverable and adjustable in future payments to PIA
12	<b>Non Usage of AEBAS for recording Trainees and Trainers attendance</b>	<b>Medium</b>
		Issuing of a Show-Cause Notice to SPIA
		Warning Mail to be issued to the SPIA to comply with the PMKVY 2016-20 guidelines
		If proven guilty by IMC -Action for 1st offence shall be as mentioned below 1) No disbursement for the said batch 2) Any disbursement made earlier for the discrepant batch shall be recoverable and adjustable in future payments to PIA
13	<b>Non Adherence to PMKVY Marketing and Branding Guidelines</b>	<b>Low</b>
		Issuing of a Show-Cause Notice to SPIA
		Warning Mail to be issued to the SPIA to comply with the PMKVY 2016-20 guidelines
		Penalty equivalent to disbursement of the concerned batch, which shall be adjustable in future payments to PIA

<b>S.No</b>	<b>Compliance Standards</b>	<b>Penalty proposed</b>
14	<b>PIA not adhering to project execution timeline</b>	To be penalized as per revocation matrix. The penalty available in revocation matrix shall be automatic, contingent on specific condition as mentioned in the target revocation matrix
15	<b>Training Centre not registered over SMART and AEBAS</b>	To be penalized as per revocation matrix. The penalty available in revocation matrix shall be automatic, contingent on specific condition as mentioned in the target revocation matrix
16	<b>Placement criteria not adhered to while execution of the project</b>	To be penalized as per revocation matrix. The penalty available in revocation matrix shall be automatic, contingent on specific condition as mentioned in the target revocation matrix
14	<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 may take a decision as it deems fit.
<b>Not e:-</b>	<b>All Suspension and blacklisting shall be linked to Aadhar number of the person linked with suspended/blacklisted entity</b>	



**First Offence - High**

S.No.	Number of remaining targets	Penalty Percent	Minimum	Maximum
1	0-5000	15	0	750
2	5001-10000	10	750	1000
3	10001-100000	5	1000	5000

**Second Offence High**

S.No.	Number of remaining targets	Penalty Percent	Minimum	Maximum
1	0-5000	25	0	1250
2	5001-10000	20	1250	2000
3	10001-100000	15	2000	15000

**Second Offence - Medium**

S.No.	Number of remaining targets	Penalty Percent	Minimum	Maximum
1	0-5000	10	0	500
2	5001 - 100000	5	500	5000

**Third Offence - Medium**

S.No.	Number of remaining targets	Penalty Percent	Minimum	Maximum
1	0-5000	20	0	1000
2	5001-10000	15	1000	1500
3	10001-100000	10	1500	10000

**Third Offence - Low**

S.No.	Number of remaining targets	Penalty Percent	Minimum	Maximum
1	0-5000	10	0	500
2	5001 - 100000	5	500	5000

**Fourth Offence - Low**

S.No.	Number of remaining targets	Penalty Percent	Minimum	Maximum
1	0-5000	20	0	1000



2	5001-10000	15	1000	1500
3	10001-100000	10	1500	10000

Nature of offence	2rd Offence	3rd Offence	4th Offence	5th Offence	6th Offence
<b>High</b>	<p><b>1) Refer to Target Reduction Calculations sheet for target reduction numbers for 'Second Offence - High'</b></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>1) Project to be stopped</p> <p>2) No further disbursement of tranche for that Project</p> <p>3) 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</p> <p>4) No disbursement for the said batch</p> <p>5) Any disbursement made earlier for the discrepant batch shall be recoverable and adjustable in future payments to PIA</p>	<p>Blacklist the SPIA for 1 year</p>		

Nature of offence	2rd Offence	3rd Offence	4th Offence	5th Offence	6th Offence
Medium	<p><b>1) Refer to Target Reduction Calculations sheet for target reduction numbers for 'Second Offence - Medium'</b></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><b>1) Refer to Target Reduction Calculations sheet for target reduction numbers for Third Offence - Medium'</b></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>1) Project to be stopped</p> <p>2) No further disbursement of tranche for that Project</p> <p>3) 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</p> <p>4) No disbursement for the said batch</p> <p>5) Any disbursement made earlier for the discrepant batch shall be recoverable and adjustable in future payments to PIA</p>	<p>Blacklist the SPIA for 1 year</p>	

Nature of offence	2rd Offence	3rd Offence	4th Offence	5th Offence	6th Offence
Low	Penalty equivalent to disbursement of the concerned batch, which shall be adjustable in future payments to PIA	<p><b>1) Refer to Target Reduction Calculations sheet for target reduction numbers for Third Offence - Low'</b></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><b>1) Refer to Target Reduction Calculations sheet for target reduction numbers for 'Fourth Offence - Low'</b></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>1) Project to be stopped</p> <p>2) No further disbursement of tranche for that Project</p> <p>3) 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</p> <p>4) No disbursement for the said batch</p> <p>5) Any disbursement made earlier for the discrepant batch shall be recoverable and adjustable in future payments to PIA</p>	Blacklist the SPIA for 1 year



Annexure II: Special Projects Target Revocation Matrix (As approved in 10<sup>th</sup> PMKVY Steering Committee)

<b>1. Overall Progress of the Project</b>						
<b>Percentage of Enrolled Candidates WRT Target Allocated</b>	<b>Percentage of Certified Candidates WRT Enrolled candidates</b>	<b>T+90</b>	<b>T+180</b>	<b>T+270</b>	<b>T+360</b>	<b>T+450</b>
<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

**\*There will be "AND" condition for above matrix**

<b>2. Training Centre registration on SMART &amp; AEBAS</b>				
<b>Percentage of Centre on AEBAS</b>	<b>Percentage of Centre on SMART</b>	<b>T+90</b>	<b>T+180</b>	<b>T+270</b>
<25%	<25%	Warning	20% of the project target allocated or balance targets, whichever is lower, will be revoked	Project on Hold
25% to 49.9%	25% to 49.9%	Warning	15% of the project target allocated or balance targets, whichever is lower, will be revoked	Project on Hold
50% to 74.9%	50% to 74.9%	Warning	10% of the project target allocated or balance targets, whichever is lower, will be revoked	Project on Hold

<b>3. Placement based Performance (For TPs where project allocation has been done based on Placements)</b>					
<b>Percentage of Certified Candidates WRT Target</b>	<b>Percentage of Placed Candidates wrt Certified</b>	<b>T+210</b>	<b>T+300</b>	<b>T+390</b>	<b>T+480</b>

Allocated	Candidates				
<25%	Any %	Warning	Will be given warning as the target has been revoked as per Table 1	Project closed at T+360	NA
25% to 49.9%	<50%	Warning	Will be given warning as the target has been revoked as per Table 1	Project closed at T+360	NA
50% to 74.9%	<50%	Warning	Warning	Will be given warning as the target has been revoked as per Table 1	Project closed at T+450

**Note:**

1. T is the Project On boarding Date
2. Target to be revoked will be the average of the three parameters
3. Target revoked are from the Total targets of the PIA
4. Some of the TPs are defaulters as the payments are pending at NSDC, these TPs will be considered accordingly
5. No Relaxation is applicable for TPs who have been allocated projects purely on the basis of Placements
6. 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
7. Approval Applicable Immediately:
  - a. For the present, if 80% captive placement projects or 90% wage employment condition is not met, approval requested for no third tranche payment of 20% pay-out
  - b. No yearly incentive payment to special projects approved on placement criteria
8. Approval Applicable when new SDMS is functional:
  - a. Once the IBM - SDMS is functional, request for approval to raise the third tranche to 30% for these projects



approved on 80% or 90% placements

