



# Monitoring Manual for Skill Development Schemes under Haryana Skill Development Mission

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## **Chapter 1:Approval of Training Centres**

### **1.1 About Centre Approval:**

Centre Approval is a quality assurance process under which required parameters of Training Centres are evaluated. It is of key importance to ensure that the trainees are provided quality training, thereby creating the requirement to have a well-defined validation process of the Training Centres, creating the need of Centre Approval. Training Centre approval focuses on learning and self-development and encourages the Training partner to pursue continual excellence. The process involves a combined mechanism of self-evaluation by Training Centre and an external evaluation by the district team of Haryana Skill Development Mission to determine if the prescribed qualitative standards are met by the Training Centre.

Training centres have to undergo centre approval and affiliation process in order to participate and impart training in Haryana state Govt Funded Skill Development Scheme.

This is an extremely important parameter to evaluate quality of a training centre which must serve as a major step in introducing the training. To ensure that trainees are imparted quality training, the training centres must meet the prescribed qualitative standards which are prescribed by sector skill councils. It is mandatory for training centres to impart training aligned with NSQF to undergo the affiliation process.

### **1.2 Objectives and Benefits:**

The Centre approval process helps in effective management and delivery of the competency-based training aimed at overall development of the trainees. Training Centre approval ensures that the Training Centre has met prescribed qualitative standards, which have been pre- set by the respective Sector skill councils and the Haryana Skill Development Mission. Some of the objectives of the Training Centre approval are as follows

1. To assess the Training Centre and their programs/ courses/job roles that meets the prescribed quality standards.
2. It has been observed that training centres very often differ in their methods of imparting training. The training centre approval process helps in establishing a framework to benchmark a Training Centre with other training Centres.
3. An approved training centre provides assurance to a number of vital stakeholders, such as the trainees, the employers and the public in general that

the Training Centre has met the established standards necessary to impart training in a particular job role.

### **1.3 Training Centre Approval Standards**

As specified in the guidelines of NSDC/MSDE, training centre approval is a combination of two standards:

- a) Mandatory Standards as per work order/scheme
- b) Mandatory Standards as per academic excellence

#### **1.3.1 Mandatory Standards as per work order**

Any academic institution which intends to impart trainings must have necessary infrastructure and other essential arrangements to ensure quality delivery of trainings. These include-

- a) Verification of Rent Deed/Telephone Bill/Electricity bill
- b) Verification of Appointment Letter, ID Proof, Joining Letter, Qualification, Experience Certificates of the following staff.(Qualification and Experience to be checked as per the JOB ROLE/Course requirement.
- c) Verification of Infrastructure of Classrooms and Labs
- d) Verification of Domain Lab –If as per the prescribed equipment list
- e) Signages outside and inside the centre
- f) Installation of AEBAS Biometric Machine
- g) Availability of Batch File as mentioned in work order (includes candidate records of Photograph, Address proof, Aadhar card, Mobile No of the candidate -batch wise)

The training centres which fulfil all the above criteria during inspection would be granted approval to start the batches immediately whereas on the other hand, if the training centre fails even in one mandatory criteria, it would be rejected to further start trainings.

#### **1.3.2 Mandatory Standards as per Academic Excellence**

The training centre would be granted conditional approval if it fails in meeting one or all of the standards mentioned in this field. However, it would be granted conditional approval and on satisfactory compliance of these standards, it can start trainings.

The following are the details of these parameters.

- a) Availability of Safe drinking water at centre
- b) Verification of Appointment Letter, ID Proof, Joining Letter, Qualification, Experience Certificates of State Placement Staff
- c) Proper Lighting and Ventilation in the classrooms
- d) Installation and operation of CCTV cameras with recording facility for one month at centre
- e) Availability of Printer and Internet at the centre
- f) Availability of Internet at the centre

- g) Availability of Teaching & Learning Material for candidates
- h) Separate toilets for ladies and gents
- i) Power back up facility at the centre
- j) Availability of Time Table for all the courses/job roles

#### **1.4 Training Centre Application Registration Process for Training Centre Approval**

The Training Partner has to complete the Application Registration process for the Training Centre Approval as explained below:

The training partner desirous of seeking approval for its training centre has to register online on the web portal of Haryana Skill Development Mission, the link for which will be made available by HSDM. During the registration the training partner shall upload the following data online with relevant photographs:

Centre Approval form:

- a) Centre approval form is a type of self-assessment report that the Training Partner is expected to submit for getting its training centre approved. The detailed report shall contain all the relevant evidences/ documents/ pictures of the required parameters, such as infrastructure, machinery, tools and equipment. The format for Centre Approval form will be made available on the website of Haryana Skill Development Mission.
- b) Centre approval form has to be filled for all the job roles for which the Training Partner is seeking approval.
- c) The Training Partner has to mark numbering on each tool/ equipment/ machinery pertaining to each job role starting from 1 to n. The numbering on the tools/ equipment/ machinery should be clearly visible on the pictures uploaded on the Centre Approval form. During the inspection by the district officials of Haryana Skill Development Mission the tool/ equipment/ machinery must be displayed with their number marking as reported in the Centre Approval form.
- d) The responsibility of the accuracy and authenticity of the data and pictures uploaded lies entirely with the Training Partner.
- e) Centre Approval form allows Haryana Skill Development Mission to ascertain if the applicant TC has provided sufficient evidence and information for scheduling the onsite visit.
- f) If the data on the Centre Approval form is found incomplete the application would be deemed incomplete and therefore would not be accepted.

## **1.5 Onsite Inspection of the Training Centre by the District Team of Haryana Skill Development Mission**

- a) Post reviewing the Centre Approval form of the Training Centre and if found appropriate the District team of Haryana Skill Development Mission would visit the Training Centre to determine if it meets the approval standards.
- b) Training Centres are expected to be fully prepared for the inspection team checks, including preparation for minute details. The Training Partner has to ensure that all the information as provided in the Centre approval form should be visible/ available at the Training Centre during the Inspection.
- c) To validate the information submitted through the Centre Approval form the district team of HSDM shall check the evidences by a thorough inspection of the classroom, laboratories, and documents and also by interacting with the trainers and other relevant staffs. During the inspection the Training Centre Head and one trainer per job role needs to be mandatorily present. It is of utmost importance that the trainers/ staff/ faculty whose details have been mentioned in the Centre approval form remain present during the onsite inspection. The district team will record its observations in case of absence of manpower or changes if any.
- d) Under rare circumstances if the district team of HSDM fails to reach the Training Centre on the scheduled date the Training Centre will be allotted an earliest priority date for onsite inspection.

### **1.5.1 Final Recommendation of the District team :**

The onsite inspection does not guarantee approval to a Training Centre. Post the onsite inspection the district team will prepare a detailed report within two days of the onsite visit. The report has to provide one of the following recommendations with regard to the approval status of the concerned training Centre.

1. Recommended for approval.
2. Recommended for conditional approval.
3. Not recommended for approval.

The Status of recommended for conditional approval denotes that the Training Centre is required to complete the deficiencies found in the training centre within a period of 30 days failing which its conditional approval status will be withdrawn.

1. In case of not recommended for approval the district team will provide its response with details of non-compliance with the concerned

standards. The TC once ready with the compliance standards may reapply for the approval process with a fresh request. The request may or may not be accepted by Haryana Skill Development Mission depending upon the reason for not granting approval to the Training Centre. For example, in case of forged data/ records found at the training centre the TC may be permanently suspended and therefore its request for reapplying for the Centre Approval shall not be granted.

2. The district team's report containing recommendations on the status of approval is provided to the Training Partner for its response (if any). The Training Partner is provided a five-day time period to send its response.

### **1.6 Validity of Approval of the Training Centre**

The validity of approval of a Training Centre is one year from the date of approval. The validity will automatically expire at the end of one year. Renewal notice may or may not be issued to the TC before expiry of the approval. The responsibility for applying of renewal in time shall lie with the concerned Training partner/Training centre.

Any complaints received against the training centre during the year of its operation shall also be duly considered before renewal the approval.

### **1.7 Procedure for change of address of Training Centres**

Under extreme conditions there may be a perceived need for a change in the address of the training centres. The Mission may decide to give permission to the Training partner for a change in the address of the training centre based on the urgency of the situation. The process to be followed in such a case is as follows:

1. The Training Partner will send a request for change in the training centre to the district team with a copy marked to the Monitoring cell.
2. After the approval of the monitoring cell, District official will exercise the Centre revert option on the MIS.
3. Training Partner will update the details of infrastructure/Manpower/ Building / Other details of the centre on the on portal as per prevailing procedures and submit.
4. The Inspection of the new site will be done by the district team as per the prevailing conditions mentioned in the monitoring manual and accordingly approval / disapproval for the new site of the training centre will be accorded.

## **Chapter 2: Continuous Monitoring of the Training Centres**

Effective and continuous monitoring of the Training centre is considered crucial for efficient delivery of the training for all the skill development schemes under Haryana Skill Development Mission. Continuous monitoring is envisaged to regularly assess the effectiveness of the various processes at the Training Centre. In order to overcome significant challenges that remain with regards to the delivery of the quality of training, continuous monitoring of the Training Centres is crucial.

### **2.1 Key objectives of continuous monitoring**

The key objectives of continuous monitoring are:

- a) To track performance / compliance of all stakeholders such as the Training Centre, SSCs and assessment agencies with respect to the key indicators and processes to ensure achievement of the overall goals and objectives of the scheme.
- b) To identify any course correction needed in a prioritized manner and to take corrective measures so as to improve the performance of the scheme.

### **2.2 Mechanism for Monitoring**

HSDM encourages its training partners to maintain high level of quality and transparency with an objective of not just skilling the youth but also providing employment to maximum trained beneficiaries.

Keeping this in view, the centres would be monitored after the initial approval of the training Centres. The monitoring visit would be regular or surprise as deemed fit by the Mission.

### **2.3 Regular visit at the Training Centres**

The training centres will be visited at least once in a month by a District official after the commencement of Batch. The Inspection report of the batch will be submitted against the batch wise invoice raised by the Training Partner for payment at the Mission.

### **2.4 Surprise visit at the Training Centres**

Apart from the regular visit at the training centre there may be surprise visit at the training centres by various stakeholders such as the member of the monitoring team, DSDA /DSC member, or any other authorised members of the Mission.



### **2.4.1 Outcome of Continuous monitoring**

As multiple modes of imparting the skills training are observed in a Training Centre, it is essential to identify a standardized system to benchmark the Training Centres within the State. The major outcome of continuous monitoring is the grading of the Training Centres, based on which actions may be taken on a Training Partner for a non-compliance and or non-performance. As the District teams are entrusted with the responsibility of continuous monitoring of each Training Centre, they are expected to alert the Monitoring team for each non-compliance.

### **2.5 Grading of Training Centres**

HSDM encourages its training partners to maintain high level of quality and transparency with an objective of not just skilling the youth but also providing employment to maximum trained beneficiaries.

Keeping this in view, the centres would be graded based on these observations during inspections. These grading would form an integral part of inspection analysis reports.

The objectives of grading are as follows –

- Help HSDM in making comparison of training centres and take futuristic actions of awarding more targets to good training centres.
- The grade wise list of training centres would be uploaded on website of HSDM to assist and guide potential trainees for making informed decision.
- This would also provide employers information about the training centres and the quality maintained by them in terms of training delivery.
- Most importantly it would enable training partners in benchmarking their training centres with respect to training centres across the country in other state.

As indicated above, there are compulsory parameters and discretionary parameters in Monitoring system of Haryana skilling. Therefore, these two parameters would be considered for grading the centres. The grading of the training centres would be done at the time of training Centre Approval.

<b>Approval Standards and Grading Metrics</b>		
Approval Standard has been graded into two parts		
Serial No	Approval Standard	Centre's compliance for Approval
<b>PART-A</b>		
<b>A1 COMMON STANDARD</b>		
1	Classroom Area / Capacity of Classroom (For each Classroom) in terms of number of trainees	
a	Minimum space requirement for each classroom is 300square feet Minimum space requirement for each trainee in the classroom is 10 square feet	Yes
b	If the classroom is not meeting the above criteria	No
2	Laboratory Area / Capacity of Laboratory (For each Laboratory) Total carpet area of the Laboratory/ capacity of the laboratory in terms of the number of trainees	
a	Laboratory has to meet SSC/Awarding Body expectations as per QP In case SSC/AB specific requirements are not given, Minimum space requirement for each Laboratory is 200 square feet. Minimum space requirement per trainee in each laboratory is 10 square feet Hybrid arrangement is also allowed subject to HSDM approval for the concerned job role Such arrangement to be allowed with a condition that the area of the Hybrid room should be minimum of 120% of the size of the bigger of the two rooms (Classroom or Lab) (example if classroom is 200 sq feet and the lab is 400 sq feet, than hybrid room should be 480 sq feet at least)	Yes
b	If the laboratory is not meeting the above expectations	No
3.	Placement / Entrepreneurship Counseling cell	
a	Availability of a demarcated Placement/ Entrepreneurship Counseling cell with availability of a dedicated Placement Coordinator	Yes
b	No separate demarcated Placement/ Entrepreneurship Counseling cell with availability of a dedicated Placement Coordinator	No
4	Type of Construction of the building of the Training Centre	
a	All walls of the training Centre including classrooms. laboratories, library, reception etc should be well plastered / colored/ distempered whitewashed	Yes

	Floor of the training centers including classrooms, Laboratories etc. should be cemented and preferably tiled. All the Classrooms and Laboratories should be properly ventilated. All the wires and switchboards in the Training Centre should properly covered and secured.	
b	Noncompliance to any of the above	No
5	Separate Washroom for Male and female trainees	
a	Availability of separate washroom facility for male and female trainees	Yes
b	Unavailability of separate washroom facility for male and female trainees	No
6	Safe/Clean Drinking Water	
a	Availability of safe/clean drinking water facility in the form of Reverse Osmosis (RO)/Water purifier/Packaged drinking water dispenser	Yes
b	Unavailability of safe/clean drinking water facility as per above norms	No
7	Cleanliness and Hygiene	
a	Availability of a dedicated housekeeping staff at the Training Centre. Availability of a daily checklist / inspection card as maintained by the Housekeeping Staff Dustbin should be placed in all Classrooms, Laboratories and Reception area.	Yes
b	Noncompliance to any of the above	No
8	Health and Safety Facilities: First- Aid Kit and Fire Fighting Equipment	
a	Availability of the First-Aid kit AND Fire Fighting equipment as per below mentioned norms	Yes
b	Unavailability of the First-Aid kit & Fire Fighting equipment as per below mentioned norms	No
	<p>Training Centre MUST COMPLY TO THE BELOW NORMS TO GET APPROVED</p> <ol style="list-style-type: none"> <li>1. First-Aid kit should contain below mentioned items, and the First aid box should be wall mounted at the Training Centre</li> <li>1. Emergency telephone numbers for emergency medical services</li> <li>2. Sterile gauze pads (dressings) in small and large squares to place over wounds</li> <li>3. Disinfectants like Dettol or Savlon</li> <li>4. Medicines like pain killers</li> <li>5. Roller bandages to hold dressings in place</li> <li>6. Adhesive tape / Adhesive bandages in assorted</li> </ol>	

	<p>sizes</p> <p>7. Scissors and Tweezers</p> <p>8. Antiseptic wipes or soap</p> <p>9. Thermometer</p> <p>Fire-Fighting Equipment - At least one of the following equipment to be available at the Centre:</p> <p>1. Water based Fire Extinguisher</p> <p>2. Foam based Fire Extinguisher</p> <p>3. Dry Powder based Fire Extinguisher</p> <p>4. Carbon dioxide-based Fire extinguisher</p> <p>5. Wet Chemical based Fire Extinguisher</p> <p>Contact number for fire brigade, hospital, ambulance and other emergency numbers should be well displayed in Classroom, Laboratories and the Reception area.</p> <p>Fire safety instructions should be well displayed at key areas of the Training Centre along with Fire extinguisher</p>	
9	Aadhar-Enabled Biometric Attendance System (AEBAS)	
a	<p>It is mandatory for the Training Centre to have an Aadhar Enabled Biometric System (AEBAS) machine to monitor attendance of all trainees. AEBAS should be preferably placed either at the entrance or the reception area or at both.</p> <p>Note: In case a Training Centre doesn't have AEBAS, Conditional Approval may be awarded. However, the Training Centre has to get AEBAS installed within two months of Conditional Approval award date, failing which Conditional Approval may be withdrawn.</p>	Yes
b	Noncompliance to the above	No
10	Trainer certified in Entrepreneurship by NIESBUD or any similar agency specified in the Scheme	
a	<p>At least one trainer of the Training Centre has to be certified in Entrepreneurship by NIESBUD or any similar agency specified in the Scheme</p> <p>Note:</p>	Yes

	<p>In case the Training Centre doesn't have a trainer certified in Entrepreneurship by NIESBUD or any similar agency, Conditional Accreditation may be awarded.</p> <p>However, the Training Centre will need to comply with this indicator within 3 months of Conditional Accreditation award date, else, Conditional Accreditation may be withdrawn.</p>	
b	Noncompliance to the above	No

A2 Job role specific standards		
1	<p>Student / Trainer Ratio (Total number of trainees who can be simultaneously trained in a Training Centre in a month for the job role) / (Total number of qualified trainers for the job role, as per the prescribed minimum requirement of SSC)</p>	
a	Ratio of 30:1 or less than 30:1	Yes
b	Ratio of more than 30:1	No
2	<p>Availability of Qualified Trainers (For each Job Role) (Centre to have qualified trainers as per the prescribed minimum requirement of SSC)</p>	
a.	Trainers meets minimum educational qualification as well as minimum work experience as prescribed by SSC/AB(Maximum of 3-month relaxation allowed in case of experience but no relaxation allowed in case of qualification)	Yes
b.	Noncompliance of the above	No
3.	Trainer certified by SSC/AB for each job role	
a.	<p>All trainers certified by SSC Note: In case the Training Centre doesn't have all trainers certified by SSC, Conditional approval may be given. However the training Centre needs to comply with this indicator within 3 months of conditional approval date else the conditional approval will be withdrawn</p>	Yes
b.	Noncompliance to the above	No

4	Availability of Equipment/ Tools/ Machinery in Laboratory For each Job Role	
a	Laboratory is equipped with mandatory equipment (as per SSC/AB specified mandatory list ) for each job role	Yes
b	Laboratory is not equipped with mandatory equipment (as per SSC/AB specified mandatory list) for each job role	No

## 2.6 Grading Matrices & standards:

Sr. No.	Grading Matrices -Training centre	Scores
<b>Standards</b>		
<b>1</b>	<b>Centre Area</b>	<b>7</b>
a	Centres with area of 5000 sq ft or above dedicated to skill development training program	7
b	Centres with area of 3000 sq ft or above and less than 5000 sq ft, dedicated to skill development training program	5
c	Centres with area of 1500sq ft or above and less than 3000 sq ft, dedicated to skill development training program	3
d	Centres with area less than 1500 sq ft dedicated to skill development training program	0
<b>2</b>	<b>Type of Building of the Training Centre</b>	<b>6</b>
a	Stand-alone Building, with all floors completely dedicated to NSQF aligned Skill Development Training	6
	OR	
	Non-functional Educational institute/Campus utilized as Training Centre (completely dedicated to NSQF aligned Skill Development Training)	
b	Industrial/Commercial Complex (Training Centre is inside a factory/ industrial/commercial complex and not a standalone building)	4
c	Functional Educational Institute/Any other Building <b>where a dedicated floor space is assigned for Skill development training</b>	2

	(Training Centre is part of educational institute or any other building and not a standalone building)	
<b>3</b>	<b>Proximity of the Training Centre to Public Transport System i.e. Bus Stop/Stand, Metro Station, Railway Station etc.</b>	<b>5</b>
a	0 - 3 km distance	5
b	3.1 - 5 km distance	3
c	5.1-10 Km distance	2
d	More than 10 km distance	0
<b>4</b>	<b>CCTV cameras (with CCTV recording facility)</b>	<b>4</b>
a	Availability of CCTV cameras (with CCTV recording facility) in all the Classrooms, Laboratories, Counselling area , Reception area	4
b	Availability of CCTV cameras (with CCTV recording facility) in all the Classrooms and Laboratories, but not in other areas	2
c	Availability of CCTV cameras (with CCTV recording facility) in 50% of Classrooms and Laboratories but not in other areas	1
d	Availability of CCTV camera in less than 50% of Classrooms, Laboratories and other areas OR Absence of recording facility	0
<b>5</b>	<b>Differently-abled friendly Training Centre</b>	<b>4</b>
a	Availability of Ramps, Lifts and Washroom for differently-abled people If the Training Centre is at Ground Floor, availability of lift is exempted .	4
b	Availability of any two parameters i.e. Lifts, Ramps, Washrooms If the Training Centre is at Ground Floor, and the Centre has any one facility ( either Ramp or Washroom for differently-abled people ), Centre shall score 2 marks	2
c	Availability of only one facility i.e. Ramps or Washroom for differently-abled people. (This is applicable for only those Training Centres which are NOT on Ground Floor)	1

d	No facility available at the Training Centre for differently abled people i.e. No Ramps, No Lifts or No Washroom	0
<b>6</b>	<b>Projectors in Classrooms</b>	<b>4</b>
a	Availability of any type of projector in all Classrooms	4
b	Availability of any type of projector in atleast 50% of the classrooms but not all Classrooms	2
c	Availability of any type of projector in less than 50% of the classrooms	0
<b>7</b>	<b>Internet Connectivity</b>	<b>4</b>
a	Availability of the Internet connectivity at the Training Centre, necessarily at the IT/Computer, Laboratory with speed of 1 Mbps and above)	4
b	Availability of the Internet connectivity at the Training Centre, necessarily at the IT / Computer Laboratory, but with speed of less than 1Mbps and greater than 512 kbps	2
c	Availability of the Internet connectivity at the Training Centre, necessarily at the IT/ Computer Laboratory, with speed of less than 512kbps	0
	OR no internet connectivity at the IT /Computer laboratory	
<b>8</b>	<b>Additional Infrastructural Facilities</b>	<b>4</b>
a	Availability of Pantry and Parking facility. Parking facility should be available in the premises of Training Centre.	4
b	Availability of any one facility i.e. Pantry or Parking facility	2
c	Neither Pantry nor Parking facility availability at the Training Centre	0
<b>9</b>	<b>IT/ Computer Laboratory facility</b>	<b>4</b>
a	Availability of IT/Computer Laboratory (a clearly demarcated area with atleast 10 computers/laptops) for life skills/ soft skills training, <b>along with Air conditioner facility</b>	4



	Availability of IT/Computer Laboratory (a clearly demarcated area with atleast 10 computers/laptops) for life skills/ soft skills training, <b>Without Air conditioner facility</b>	2
b	Unavailability of IT/Computer Laboratory as per above mentioned criteria	0
<b>10</b>	<b>Power Backup facility</b>	<b>3</b>
a	Availability of the Power backup facility in the form of UPS/ Inverter/ Genset etc. to continue the operations at the Training Centre	3
b	Unavailability of the Power backup facility as per above norms	0
<b>11</b>	<b>Library facility</b>	<b>3</b>
a	Availability of Library (a clearly demarcated area with at least 5 books per job role)	3
b	Unavailability of Library (as per above mentioned criteria)	0
<b>12</b>	<b>Air-Conditioned (AC) facility</b>	<b>2</b>
a	Availability of Air-Conditioning in all Classrooms (Availability of AC in High altitudes Regions (Above 5000 ft above sea level), is exempted)	2
b	Availability of AC in atleast 50% of the classrooms (Availability of AC in High altitudes Regions (Above 5000 ft above sea level), is exempted)	1
c	Availability of AC in less than 50% of the classroom	0
	<b>Total Scores for Grading</b>	<b>50</b>

Each centre's overall performance would be measured by assigning scores to the above-mentioned parameters and these scores would be converted into ratings as per below mentioned table.

Percentage of scores	Grades awarded
85% and above	5 star
70% to 84%	4 star
55% to 69%	3 star
40% to 54%	2 star
40% and below	1 star

A training centre must obtain at least 60% and above to be associated with Haryana Skill development Mission's training schemes. In case of failure to comply with this condition on a continual basis, the training partner may lose its accreditation and eventually its ties with Haryana Skill development Mission which may result into suspension and even blacklisting from the state.

For forms and Equipment details kindly refer Annexure 3.

## Chapter 3: Defaults Handling

**3.1.1 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

### **3.1.2 Identification of a default**

Violation of the processes, norms and timelines prescribed in the manual of Standard Operating Procedure, the Guidelines, and the Notifications issued by the HSDM will be the basis for identification of a default.

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

## **3.2 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 TP/TC 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 TP's performance.

Two levels of Alerts are provided for:

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

If the TP 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 TP's performance. However, the TP 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 TP 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.

Training Partner/Training center 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/scheme guidelines/terms of agreement/notification issued by HSDM will lead to the issuance of an Alert.

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

## **b. Penalty Processes**

Penalty processes comprise two main stages:

- Initiation of penalty proceedings and imposition of penalty
- Suo Motu

### **3.2 (b).1 Initiation of penalty proceedings and imposition of penalty**

A penalty may be imposed on a TP/TC 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 TP 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 TP. These proceedings may result in the imposition of a penalty.

- Directly initiation of penalty proceedings:

Penalty proceedings may also be initiated by issuing a Show Cause Notice to the TP, without going through the entire Alert process. These proceedings may also result in the imposition of a penalty.

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.

## 1: Details of minor and major penalties:

Category	Penalty
<b>Minor</b>	<ol style="list-style-type: none"> <li>1. Fine up to Rs. 50,000 per occasion/per center</li> <li>2. Retraining candidates without any additional payment to TP</li> <li>3. Closing/Suspension of training center/s</li> <li>4. Reduction of targets</li> </ol>
<b>Major</b>	<ol style="list-style-type: none"> <li>1. Fines higher than Rs. 50,000 but not exceeding 5% of the project cost</li> <li>2. Closure of the project</li> <li>3. Termination of Agreement and work order/s</li> <li>4. Blacklisting of TP in the state for a specified period (2 Years)</li> </ol>
<p><b>Note:</b> All penalties are hierarchical with ascending order of severity. While imposing the penalties, the competent authority may impose a combination of penalties, provided. Due procedure as prescribed for imposing the higher penalty is followed.</p>	

A list of minor and major defaults is placed at **annexure-1**

### Direct Imposition of Penalties: -

- **For Attendances:** -A direct financial penalty (Batch wise) will be imposed on basis of batch inspection report/surprise inspection in case of

Sr. No.	Attendance at the time of inspection	Penalty Imposed	In case of repeated events
1.	50-70% of batch strength	5% of batch training cost	Additionally, 5% penalty of batch training cost.
2.	20-50% of batch strength	10% of batch training cost	Additionally, 5% penalty of batch training cost.
3.	Less than 20% of batch strength	20% of batch training cost	Batch will be cancelled.

- **Delay in raising invoices of invoices (Tranches).**

For 1<sup>st</sup> tranche

Time Duration (Invoices to be raised)	Penalty to be imposed
Within 23 days of batch start date	Nil
After 23 days till batch completion till 60	20 % of 1 <sup>st</sup> tranche payments.

days of batch completion	
After 60 days of batch completion	Invoices will not be accepted, and the batch will be financially closed for 1 <sup>st</sup> tranche.

For 2<sup>nd</sup> tranche

Time Duration (Invoices to be raised)	Penalty to be imposed
Within 30 Days of batch certification date	Nil
Within 31-90 days of batch certification	20 % of 2 <sup>nd</sup> tranche payments.
After 90 days of batch certification	Invoices will not be accepted, and the batch will be financially closed for 2 <sup>nd</sup> tranche.

For 3<sup>rd</sup> tranche

Time Duration (Invoices to be raised)	Penalty to be imposed
Within 120 Days of batch certification	Nil
Within 121-180 days of batch certification	20 % of 3 <sup>rd</sup> tranche payments.
After 180 days of batch certification	Invoices will not be accepted, and the batch will be financially closed for 3 <sup>rd</sup> tranche.

- Any other penalty clause including forfeited of Performance guarantee/BG as per the agreement/basis of performance shall also be included besides above.

### **3.2(b).2Suo-Motu**

Notwithstanding the process delineated, in exceptional cases (for example, diversion or funds, fraudulent practices, persistent defaults, actions that affect the safety of candidates), the competent authority (MD-HSDM) may decide to impose a penalty suo motu on a Training Provider/ Training Centre. In such cases, penalty will be imposed directly on the Training Provider without issuance of any Alert or Notice. However, the Training Provider will retain the right to appeal against the penalty/ies.

### **3.3 Appeal against penalty**

Regardless of the process followed for imposition of a penalty, TP will have the right to appeal against the penalty to the Appellate Authority. However, even if TP 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 TP 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.

### 3.4 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.

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

### 3.5 Communications related to defaults and penalties

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

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

### 3.6 Impact of policy changes

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

### 3.7 PENALTY PROCESSES

Initiation and closure of penalty proceedings

Item	Description
Purpose	To delineate the penalty processes, including initiation and conduct of proceedings, imposition of penalty, appeal and closure
Time for completion	As per the activity table
Resources	<ul style="list-style-type: none"> <li>a) Show Cause Notice</li> <li>b) Response to Show Cause Notice</li> <li>c) Personal Hearing Intimation</li> <li>d) Proceedings of Personal Hearing</li> <li>e) Notice of imposition of Penalty/Dropping of Penalty</li> </ul>

	proceedings f) Request for Closure of Penalty Proceedings g) Notice of Closure of Penalty Proceedings h) Appeal against Penalty i) Decision on Appeal against Penalty
Process Owners	Monitoring Cell

### **Activity Table**

Step No.	Actor	Action	Time for Completion	Relevant documents
<b>Initiation of Penalty Proceedings</b>				
1.	Monitoring Cell	Issue Show Cause Notice to TP/TC for Default/s	No specific timeline (issue date is P1)	Show Cause Notice
2.	TP	Provide written response to Show Cause Notice	P1 + 3 Days	Response to Show Cause Notice
3.	Monitoring Cell	<p>Consider written response of TP Decide whether TP needs to be given an opportunity for personal hearing</p> <p>Issue notice to TP, if personal hearing is required</p> <p>Inform the TP if decision is pending or No Hearing required basis of Non satisfactory reply to Notice</p>	Within 5 days of receipt of response from TP	Personal hearing intimation
4.	Monitoring Cell/Internal Monitoring Committee	<p>Complete the personal hearing proceedings, if initiated</p> <p>Record the personal hearing proceedings and communicate</p>	Within 7 days of issuing Personal Hearing Intimation	Proceedings of personal Hearing



		details to the TP Inform the TP if decision is pending		
<b>Imposition and implementation of Penalty</b>				
5.	Internal Monitoring Committee (IMC) headed by Mission Director /Chief Skills Officer- HSDM	Take a decision regarding imposition of penalty and inform the TP that <ul style="list-style-type: none"> <li>• Penalty Proceedings are being dropped or</li> <li>• A Penalty is being imposed</li> <li>• Penalty being modified</li> </ul>	Within 7 days of receipt of written response from TP or from date of personal hearing if such an opportunity is given to the TP	Notice of Imposition of Penalty/ droppings of Penalty Proceedings
6.	TP	If Mission decides to drop the Penalty proceedings, then no further action is necessary  If penalty is imposed <ul style="list-style-type: none"> <li>• Comply with the penalty order</li> <li>• Request for closure of penalty proceedings if the TP decides not to invoke the appeal process or</li> <li>• Action as per Appeal process</li> </ul>	As specified in notice of Imposition of Penalty	Request for Closure of Penalty Proceedings
<b>Appeal</b>				
7.	TP	Appeal against	Within 5	Appeal

		penalty	days of receipt of notice of Imposition of Penalty	against Penalty
8.	Appellate Authority –I (Mission Director-HSDM)	Provide an opportunity to the TP to present its appeal against the penalty imposed by Monitoring/CSO-HSDM, including opportunity for personal hearing if required Decide whether to <ul style="list-style-type: none"> <li>• Uphold the penalty</li> <li>• Modify the penalty</li> <li>• Cancel the penalty</li> </ul>	Within 15 days of receipt of appeal against penalty if there is no personal hearing or 30 days of receipt of appeal against penalty if opportunity for personal hearing is provided	Personal Hearing Intimation  Proceedings of Personal Hearing  Decision on Appeal against Penalty
9.	Appellate Authority-II (PS/ACS-SDIT)	Provide an opportunity to the TP to present its appeal against the penalty imposed by Mission Director-HSDM, including opportunity for personal hearing if required Decide whether to <ul style="list-style-type: none"> <li>• Uphold the penalty</li> <li>• Modify the penalty</li> <li>• Cancel the penalty</li> </ul>	Within 15 days of receipt of appeal against penalty if there is no personal hearing or 30 days of receipt of appeal against penalty if opportunity for personal hearing is provided	Personal Hearing Intimation  Proceedings of Personal Hearing  Decision on Appeal against Penalty
10.	Mission	Verify whether the TP has complied with the order of		

		<p>the appellate authority if penalty is upheld or modified</p> <p>Comply with the terms of the order of the appellate authority if penalty is cancelled or modified</p>		
11.	Mission/Monitoring Cell	Inform the TP/TC that penalty proceedings are closed		Notice of Closure of Penalty Proceedings

## Annexure-1

### Standard form for Issuance of Show cause Notice for penalty imposition

To

Chief Functionary- Defaulting TP

\_\_\_\_\_ ( Name of TC)

\_\_\_\_\_ (Name of TP)

\_\_\_\_\_ Address Line 1

\_\_\_\_\_ Address Line 2

\_\_\_\_\_ Address Line 3

**Subject: Issuance of a Show cause notice on account of \_\_\_\_\_ default observed at your Training Centre during the Inspection dated \_\_\_\_\_**

This is to inform you that during the inspection that was conducted at your training centre on the \_\_\_\_\_ it has been observed that there have been defaults related to the skilling protocols as mentioned under:

Serial No	Type of Default	Details of Default	Alerts Issued
			On Dated.....
			On dated.....

In the abovementioned regard you are advised to issue clarification in this regard within a period of \_\_\_\_\_ days. In case you have nothing to reply within the specified period it will be considered that you have no clarification to offer in this regard.

Authorized Signatory

#### Attachments:

1. Evidences/Supporting Documents/Inspection Report
2. Recordings Video/Audio etc. Transcripts.
3. Copies of Alerts (if any)

## Annexure-1 (A)

### Standard form for Issuance of Alerts Notice

To

Chief Functionary- Defaulting TP

\_\_\_\_\_ ( Name of TC)

\_\_\_\_\_ (Name of TP)

\_\_\_\_\_ Address Line 1

\_\_\_\_\_ Address Line 2

\_\_\_\_\_ Address Line 3

**Subject: Issuance of alert notice on account of \_\_\_\_\_ default observed at your Training Centre during the Inspection dated\_\_\_\_\_**

**This is to inform you that during the inspection that was conducted at your training centre on the \_\_\_\_\_ it has been observed that there have been defaults related to the skilling protocols as mentioned under:**

Serial No	Type of Default	Details of Default

**In the abovementioned regard you are advised to issue clarification in this regard within a period of \_\_\_\_\_ days. In case you have nothing to reply within the specified period it will be considered that you have no clarification to offer in this regard.**

**Authorized Signatory**

**Attachments:**

1. Evidences/Supporting Documents/Inspection Report
2. Recordings Video/Audio etc. Transcripts.

## **Annexure-2**

### **Minor Defaults (Not limited to)**

- Welcome kits/ Induction Kits/ Uniform (As per Scheme)/ Handbook
- Non-Availability of Bi-Lingual Training Material (Handbooks)
- Deviations from mandatory equipment as per QP/SSC
- Academic Materials
- Course contents, Training Kit, Assessment material as per SSC/SVSU.
- Activity cum training plan
- Training schedule and activity planner, industrial visits
- OJT Plan (if any) candidate entitlement
- Facilities (First aid kit, hygiene, drinking water etc.)
- Branding of schemes.
- CCTV in working mode and recordings up to 1 month.
- Trainer's profile-Confirm relevant domain.
- Grievance register/ Visitor register.
- Bio-Metric device for recording attendance (AEBAS)
- Batch wise training record file

### **Major Defaults (Not limited to)**

- Non-Existence of the Centre- Training centre does not exist at the address provided.
- Unethical Practices- Subletting (Franchise Mode), Fraudulent Practices.
- Fake Enrolments / Ghost candidates
- Centre found closed at the time of visit, but active on portal.
- Centre is open and Training not being conducted at the time of visit
- Training Centre is found indulging in unethical practices such as offering/demanding undue favours in cash / in kind to a stakeholder, OR any other mala fide intention affecting the outcome of the training
- Intimidating assessor to conduct assessment at a place other than authorized
- Non availability of mandatory equipment as per SSC/AB/QP.

### **Annexure-3**

Training Partners and Training centres are required to follow the link <https://www.skillindia.gov.in/knowledge-bank> for the purpose of latest documents and forms i.e.

- a. Centre Accreditation and approval Form
- b. Equipment Specification for Job role
- c. Classroom/ Laboratory Specification
- d. Trainer's Specification
- e. Equipment Details
- f. Trainers Qualification
- g. Lab area details
- h. Grading Matrices
- i. Residential guidelines