

F. No. SCH-14/1/2021
Government of India
Ministry of Skill Development & Entrepreneurship
(PMKVY Division- SD wing)

2nd Floor, Room No. 217,
PTI Building, Sansad Marg,
New Delhi- 110 001
Dated: 23rd April, 2021

OFFICE MEMORANDUM

Subject: Pradhan Mantri Kaushal Vikas Yojana 3.0 (PMKVY 3.0) Monitoring Guidelines- reg

The undersigned is directed to enclose herewith the in-principle approved 'Monitoring Guidelines of Pradhan Mantri Kaushal Vikas Yojana 3.0' for its implementation and necessary action.

2. Further, NSDC is requested to place this in the 1st meeting of the Steering Committee for PMKVY 3.0 for its post facto approval.
3. This issues with the approval of Competent Authority (MSDE).

Encl: As above.



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To,

1. Mission Director, SSDMs of all States/UTs.
2. District Collectors / District Magistrates / Deputy Commissioners of all the Districts of all States/UTs.
3. CEO & MD, NSDC, New Delhi

Copy to: Principal Secretary, Skill Development Department of all States/UTs

Copy for information to:

1. PS to Hon'ble Minister, SDE
2. PS to Hon'ble MoS, SDE
3. PPS to Secretary, MSDE.
4. PPS to Additional Secretary, MSDE.



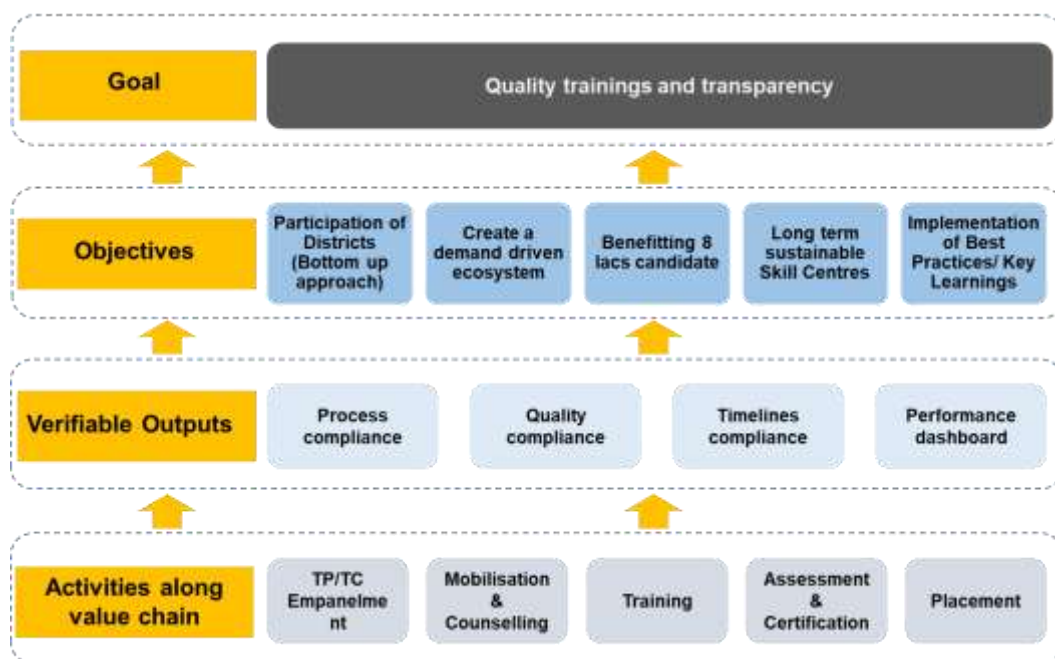
PMKVY 3.0 MONITORING GUIDELINES

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1. Background and Objectives

- 1.1 Pradhan Mantri Kaushal Vikas Yojana (PMKVY) was launched in 2015 to encourage and promote skill development in the country by providing free short duration skill training and incentivizing this by providing monetary rewards to youth for skill certification. The scheme intended to boost both industry and employability of youths. The learnings from each phase has helped in prioritising the objectives and creating an evolving governance structure for Skill ecosystem.
- 1.2 After the successful implementation of PMKVY 1.0 (2015-16) and learning from the past. PMKVY 2.0 paved way for PMKVY 3.0. Each version of scheme has helped in further strengthening the Skills ecosystem. It is evident that learning and analysis from one scheme has helped in setting the objectives for the next phase. PMKVY trainings are delivered across the Country covering different geographies, multiple sectors, stakeholders & candidates with different background and level of expertise.
- 1.3 Therefore, to meet the scheme objectives and aspiration, it is critical to have a robust monitoring, evaluation, and feedback mechanism in place to enable all, in smooth implementation of scheme. Monitoring as a process is a continuous function to inform the stakeholders of progress achieved against planned results (outputs, outcome and objectives).



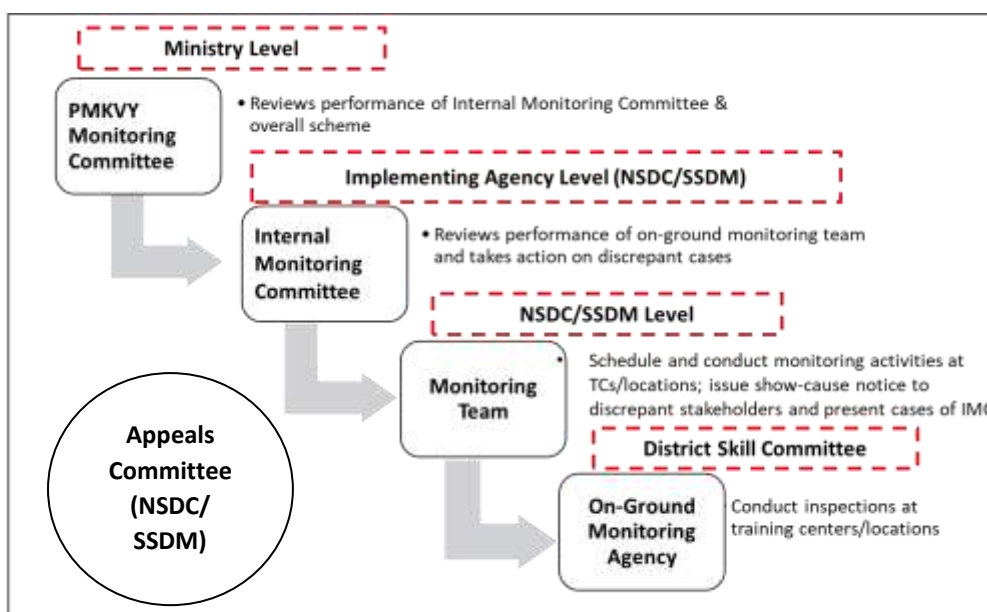
- 1.4 The framework used in this document is based on cause and effect matrix where inputs lead to outputs and outputs lead to immediate objectives, which results into longer-term objectives or goals. This cause-effect relationship is depicted in the figure above

1.5 This monitoring guidelines document is intended to:

- 1.5.1 Ensure stakeholders conduct their roles and responsibilities in compliance with PMKVY 3.0 guidelines.
- 1.5.2 Calibrate performance against deliverables.
- 1.5.3 Adopt methods and tools so that appropriate indicators are monitored accurately.
- 1.5.4 Design structures and processes to identify non-compliances and take corrective action.
- 1.5.5 Validate the integrity of the data reported by stakeholders.
- 1.5.6 Define roles and responsibilities of various stakeholders/entities in the monitoring process.

2. Monitoring Structure

- 2.1 Monitoring is a procedure for checking the effectiveness and efficiency of implementing a scheme by identifying strengths and shortcomings and recommending corrective measures to realize and optimize the intended outcomes.
- 2.2 It is essential to have an appropriate structure in place so that monitoring can be conducted in transparent manner and achieve the objectives efficiently. The monitoring structure of PMKVY 3.0 comprises of PMC (PMKVY Monitoring Committee) which is the high-level committee at MSDE to review the overall performance of scheme and IMC (Internal Monitoring Committee), IMC which is at the implementation agency level to review the performance of specific component (as applicable), Monitoring team, and on-ground monitoring agency. The structure also comprises of Appeals Committee at Implementation agency level to provide a channel for an aggrieved stakeholder against the monitoring action initiated up till IMC level.



2.3 PMKVY Monitoring Committee (PMC)

2.3.1 The PMC comprises of 7 members and meets on a monthly/ bimonthly basis to review the overall performance of the scheme and issues (if any) pertaining to or escalated by the IMC and decisions reviewed in appeals committee. The PMC would also discuss specific cases as referred by IMC, of non-compliance related issues of stakeholders, such as TCs, PIAs and SSCs. The committee composition is mentioned in the below table.

Composition of PMKVY Monitoring Committee (PMC)		
1.	Joint Director/ Director, MSDE	Chairman
2.	Under Secretary, IFD Dept., MSDE	Member
3.	Under Secretary, Vigilance Dept., MSDE	Member
4.	Chairman, IMC NSDC	Member
4.	Grievance Redressal Officer, NSDC	Member
5.	Any other Government Official (invited by Chairman)	Member
6.	Any other Government Official (invited by Chairman)	Member
7.	Head/ Team Member Monitoring & MIS, NSDC	Convenor

2.3.2 Key roles and responsibilities of the PMC:

- 2.3.2.1 The committee shall meet on a monthly/ bimonthly basis to monitor scheme progress, review IMC actions, decide on critical cases related to monitoring issues of the stakeholders or as raised in the appeal committee of both the components. The decision taken by PMC will be final and binding on the stakeholders.
- 2.3.2.2 The committee shall review the overall monitoring report (State and Central component) submitted by NSDC.
- 2.3.2.3 The monitoring team shall report progress of the various monitoring/IMC related issues to PMC.
- 2.3.2.4 PMC is empowered to propose amendments in the compliance and performance standard metrics or the monitoring process at any point of time, as per the requirement of the Scheme.
- 2.3.2.5 PMC may only recommend changes in the score cards/ metrics, which Executive Committee (EC) will give approval of.
- 2.3.2.6 Approval from Executive Committee and Decision/ Minutes of the meeting of PMC to be placed before the Chairman, Steering Committee of PMKVY 3.0 for information and ratification.

2.4 Internal Monitoring Committee (IMC)

2.4.1 The IMC is constituted at NSDC/SSDM for the purpose of an efficient and quick action against the identified discrepant stakeholders. The IMC (NSDC/SSDM) meetings shall be

conducted at regular intervals to ensure that the stakeholders adhere to the scheme guidelines and to take appropriate actions in case of non-compliance as per the PMKVY non-compliance penalty grid¹ approved by MSDE.

2.4.2 The NSDC IMC comprises of the following members.

Composition of Internal Monitoring Committee (IMC)		
1.	Senior Head (Monitoring), NSDC	Chairman
2.	Head, RPL & Special Projects	Member
3.	Head, Customer Relations	Member
4.	Grievance Redressal Officer, NSDC	Member
5.	Dy. Head STT	Member
6.	Dy. Head RPL	Member
7.	Head CRM	Member
8.	Dy. Head Special Project	Member
9.	Any other member invited by Chairman	Member

SSDMs to also formulate such IMC at state level with proper representation from district and state authorities. SSDM to submit the composition to PMC.

2.4.3 Key roles and responsibilities of IMC:

- 2.4.3.1 The committee shall meet fortnightly for case wise discussion of the discrepant stakeholders and quarterly performance review of low performing TPs/PIAs based on score card analysis. Apart from this the committee can be called in between on need basis.
- 2.4.3.2 During IMC discussions, all the evidence including the surprise visit inspector report, call validation results, AEBAS record, training centre/partner responses, training performance shall be reviewed by the committee.
- 2.4.3.3 On basis of all the evidence and the responses from the TP/TC, the committee shall arrive at a decision regarding the action to be taken against the non-compliant stakeholders as per the penalty grid approved by MSDE.
- 2.4.3.4 For low performing TPs/PIAs, the potential of the TP/PIA to improve the performance including proposing the revision of the target basis the past performance and future potential shall also be drawn out.

¹https://www.pmkvyofficial.org/App_Documents/News/short-term-training-penalty-grid.pdf
https://www.pmkvyofficial.org/App_Documents/News/Special-Projects-Penalty-Grid-and-Target-Revocation-Matrix.zip
https://www.pmkvyofficial.org/App_Documents/News/Recognition-of-Prior-Learning-Penalty-Grid-19-1-2018.pdf

2.5 Appeal Committee

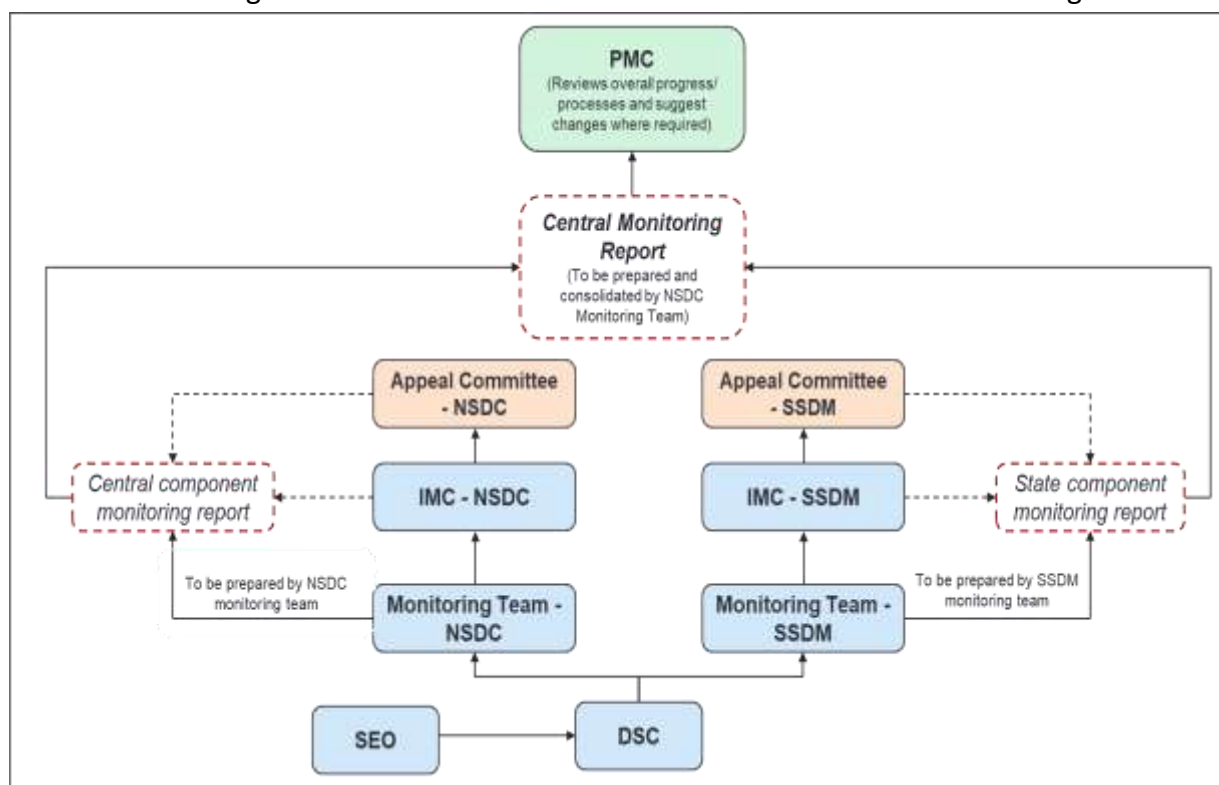
2.5.1 An Appeals Committee will be formed² to provide a formal channel for an aggrieved TP or a stakeholder to appeal against an IMC decision which according to the stakeholder may have been inappropriate or is too harsh for the case. This committee will act as an Ombudsman for the TPs/TCs in assuring a time bound, fair and transparent process.

2.5.2 **Appeals Committee (NAC):** 'NSDC Appeals committee' (NAC) will constitute the following members. Other implementing agencies may follow a similar structure.

S. No	Members	Designation
1	CPO/CRO, NSDC	Chairman
2	IMC member (relevant to the business division) appointed by Appeals Committee chairman	As Observer
3	IMC Chairman	As Observer
4	A senior member from the legal team	Member
5	A Member from finance team of the level of G7 and above	Member

SSDMs to also formulate such Appeals Committee at state level with proper representation from district and state authorities. SSDM to submit the composition to PMC.

2.6 The following will be the workflow of the stakeholders within the monitoring structure:



²Appeals committee process and structure approved by 13th PMKVY 2.0 Steering committee held on 18th Dec 2020

3. Key Stakeholders & their Role in Monitoring

3.1 Ministry of Skill Development and Entrepreneurship:

- 3.1.1 Involvement of MSDE officials in monitoring: As most of policy decisions are lying with the Ministry of Skill Development & Entrepreneurship (MSDE) through Steering Committee and Executive Committee, it may devise the following plan for effective monitoring of the scheme.
- 3.1.2 A meeting may be scheduled to review the physical progress, utilisation of funds, future planning and proposed suggestions to improve the implementation of PMKVY 3.0 as and when required.
- 3.1.3 A group of National Level Monitors (NLMs) may be empanelled such as renowned social workers, experienced development sector professionals, retired senior officials of Government to visit the States/UTs, Districts to monitor the implementation of the scheme as per the Guidelines and some pre-defined checklist/ template report. The NLMs may submit the report to MSDE on completion of inspection/ field visit and based on the same MSDE will act as deemed fit
- 3.1.4 A group of senior officials of the MSDE and other central ministries may be nominated allotted with some list of States/UTs for monitoring the scheme at field level and within a specific duration or time-period, the officials would visit for inspection or implementation by the concerned stakeholders in accordance with the Guidelines of the PMKVY 3.0 scheme.
- 3.1.5 MSDE may develop a scorecard for evaluation of SSDMs and DSCs to facilitate the dynamic fixation of targets as per the performance of states.
- 3.1.6 MSDE will monitor the utilization of funds (via Form 12C of GFR 2017) for state component. In case of absence of UC approximation could be done with the help value chain indicator(s).

3.2 National Skill Development Corporation (NSDC)

- 3.2.1 For all the trainings under central component the responsibility of monitoring and supervision of training quality lies with NSDC.
- 3.2.2 For all the trainings under state component, SSDM will be responsible for monitoring however, NSDC will provide support to SSDM for monitoring and supervision of training quality.
- 3.2.3 Monthly monitoring reports will be made by NSDC to provide oversight of the ecosystem to the stakeholders. The monitoring report to be submitted to PMC for review. The report will reflect the information of entire PMKVY i.e. State and Central both the components. NSDC to coordinate with States for State component data which will be required in the report. This will help make a comprehensive document to derive

- 3.2.4 Compliance monitoring tools like Call Validation, Out-Bound Dialling and Surprise Visits may be used during the Enrolment and Placement phases to gain candidate feedback, Complains and grievances about the ecosystem³.
- 3.2.5 For monitoring placements, monitoring of reported placed needs to be done including their placement status 6 months and 12 months after initial placement
- 3.2.6 During the lifecycle of training, NSDC will monitor the following indicators to enforce the quality of training being provided under PMKVY3.0:
- 3.2.6.1 Attendance of candidates
 - 3.2.6.2 Availability of TC facilities & infrastructure
 - 3.2.6.3 Availability of Training material as per the guidelines
 - 3.2.6.4 Branding of PMKVY as per the guidelines
 - 3.2.6.5 Availability of Candidate enrolment Forms and Candidate Feedback forms
 - 3.2.6.6 Regularity of Training including batch strength
 - 3.2.6.7 Trainer Qualification and ToT certification
 - 3.2.6.8 Any unethical practices by TC like giving misleading info about scheme to the candidates etc.
- 3.2.7 Performance based scorecards for TPs and TCs will be prepared by NSDC. These scorecard rankings will help in highlighting best practices in the ecosystem and may be used during the subsequent allocation or scheme.
- 3.2.8 State Engagement Officers (SEOs) will act as a liaison between NSDC and SSDMs/ DSCs. SEOs will:
- 3.2.8.1 Facilitate DSCs in implementation and monitoring of the scheme on ground level.
 - 3.2.8.2 Ensure proper reporting of monthly monitoring reports by DSCs. Also support DSCs wherever required.
 - 3.2.8.3 Conduct capacity building workshops on functionalities of Skill India Portal (SIP) for district administration.

3.3 State Skill Development Mission (SSDM)

- 3.3.1 For all the trainings under the Centrally Sponsored State Managed (CSSM) component, the responsibility of monitoring and supervision of training quality lies with SSDMs.
- 3.3.2 SSDMs are expected to have dedicated monitoring teams with associated structure to monitor and supervise the program at the state level.
- 3.3.3 SSDMs to prepare the bimonthly report for State component and share with NSDC so that a comprehensive monitoring report containing details of both the components can be prepared and presented to PMC.
- 3.3.4 SSDMs may develop similar enablers /refer the enablers used by NSDC for monitoring of the scheme for state component as mentioned in the monitoring framework.

³CV & OBD for candidate verification done post enrolment, second round carried out for recording candidate feedback post certification. Surprise visits and virtual verification carried out during the training and assessment phase. To address complaints & grievances from stakeholders all the above and beyond are used.

3.4 District Skill Committee (DSC)

- 3.4.1 Being a demand-driven scheme and the role of Districts through DSCs is central to the effective implementation of the PMKVY 3.0.
- 3.4.2 DSCs formed at the district level will play a key role in monitoring the delivery of PMKVY 3.0 at the training centres/locations⁴ in their respective districts as per scheme guidelines. The DSCs shall have a designated person or team for monitoring of training centres in their respective districts.
- 3.4.3 A District level review meeting will be conducted by DSCs on a monthly basis. This meeting will be chaired by the Collector & District Magistrate of the districts and physical and financial progress of PMKVY3.0 will be reviewed.
- 3.4.4 The DSCs may use the PMKVY dashboard <http://pmkvyofficial.org/> to get details regarding their respective TCs including monitoring actions (if any) taken against their respective TCs by checking on the list of suspended TCs and blacklisted TPs uploaded from time to time. A special tab and login shall be created for DSCs in SIP to access district level data¹ reports for all training types for DSCs to monitor scheme progress in their respective districts.
- 3.4.5 The DSCs will conduct monitoring drives on a in a periodic manner or as directed by monitoring committee or wherever required.
- 3.4.6 PMKVY 3.0 to be a part of DISHA meeting

3.5 Sector Skill Councils (SSCs) and other approved awarding bodies

- 3.5.1 SSC will support the stakeholders wherever required.

4. Monitoring Mechanism and Parameters

- 4.1 The scheme will be monitored based on two type of monitoring tools, Compliance and Performance tools.
- 4.1.1 Compliance tools will be used for regular monitoring of the scheme to ensure quality of the training being delivered including candidate verification. These will include Call validations, physical visits, AEBAS monitoring, etc.
- 4.1.2 Performance Tools will be used to monitor the compliance and performance of the stakeholders as per scheme guidelines. These will include Candidate feedback collection through various channels, Penalty matrix, TP/TC level scorecards and insights drawn from the compliance tools etc.
- 4.2 **Compliance Tools for monitoring:**

⁴The term training centers are referred to STT and SPL while the corresponding term for RPL is locations

4.2.1 Candidate verification using Out Bound Dialling (OBD) and manual calling⁵: An outbound call is made by third-party call centre (approved by NSDC) to each enrolled candidate, on their mobile number as entered in the Skill India Portal (SIP) to establish their authenticity. The mechanism targets 100% of the enrolled candidates and uses both automated voice call and manual calling in order to cover the universe. There are two major steps in which the activity is being carried out:

4.2.1.1 Interactive Voice Response (IVR)⁶ based OBD - An automated call shall capture the response of the candidates in binary form (yes/ no). Despite the limitation of recording only yes/no response, automated OBD dials multiple calls simultaneously enabling reaching out to large number of candidates in a very short span of time⁷.

4.2.1.2 Manual Call Validation⁸: For those candidates who could not be verified by IVR based OBD, manual calls are made by third-party call centre basis script incorporating questions to authenticate them. Manual calls to candidates are also triggered in cases where

- Further investigation of issues identified through the process of OBD are required
- It is necessary to ascertain allegations registered in grievances raised by various stakeholders

4.2.2 Attendance monitoring: Under PMKVY 3.0, all centres are required to record attendance of candidates, trainers and assessors on Aadhaar Enabled Biometric Attendance System (AEBAS⁹) which operates on fingerprint-based authentication. *iris-based authentication can be explored under PMKVY 3.0 as an alternative to AEBAS (this can be used basis the learning from PMKVY 2.0)*¹⁰

4.2.3 TC self-assessment through push notification: PMKVY monitoring team will send random mobile push notification to sample TC/ Training Location¹¹ SPOCs to initiate and complete their respective 'Self-Assessment' of the training location/centre. The push

⁵In PMKVY 2.0, beyond AEBAS candidate authentication, CV and OBD helped to verify candidates and monitor specific noncompliance like if fees are collected while enrolling the candidate at the TC level. The process also helped to validate complaints/grievances from stakeholders.

⁶ The system also offers a non-IVR based one-way communication used for disseminating important information

⁷ Automated calling could dial more than 1 lakh candidates in a span of 2 days allowing 23 lakhs+ enrolled candidates to be reached out in FY 2019-20

⁸ Over 5 lakh calling were done in FY 19-20 through the manual calling method

⁹In line with the Ministry of Health and Family Welfare (MoHFW) guideline, contact based biometric attendance has been paused to mitigate risk of spreading COVID infection.

¹⁰ An offline attendance app has been launched (Compliance rate of app has been reported to be ~25% in the month of December 2020) for PMKVY 2.0. The offline app currently has provision to capture below:

- Photo of attendance register
- Photo of batch
- All photos are geo tagged
- All photos (attendance register/ students) are for each batch
- App is to be used across all centres (no state exemption has been given unlike AEBAS)

¹¹ While Training Centre denotes the training delivery centre in STT, the corresponding term under RPL is 'Training Location'

notification may be sent anytime within training hours of TP/PIA on the SIP. Links for downloading TC Self-Assessment App on mobile:

IOS: <https://apps.apple.com/in/app/senpiper/id1196090587>

Android: <https://play.google.com/store/apps/details?id=com.senpiper.nsdsc>

The mobile app will provide an array of parameters against which response will be captured to complete the TC self-assessment. Desk Assessment (DA) of the self-assessment report will be carried out by monitoring team at SSDM/DSC/NSDC or authorised third-party DA agency. The TC self-assessment will be an add-on to the physical inspection. (Detailed in SOP)

- 4.2.4 **Surprise Physical Inspections:** Surprise physical inspections¹² will be carried out on sample TCs or Training Locations by the monitoring team of NSDC/SSC/SSDM/ DSC. The auditor/inspector will be provided with a mobile app¹³ with array of objective parameters (same parameters as explained above in TC self-assessment) to be checked for the purpose of inspection.
- 4.2.4.1 The centres/locations to be inspected will be identified on basis of the observations from the processes of Call Validation, AEBAS records, TC self-assessment report or any other parameters decided by NSDC/ SSDMs/DSCs on a sample basis. To ensure maximum outreach, the DSCs will ensure surprise visits are conducted in all TCs operating in their respective district at least once in 3 months. For the same, trigger to DSCs/ SSDMs/ NSDC may be initiated once the inspection gets completed under CSCM/ CSSM component.
- 4.2.4.2 To increase transparency and to reduce the turnaround time, a monitoring mobile app will be used for the purpose of surprise visits. Each stakeholder using the app will be provided with unique credentials. It provides the features to capture the images of the centre along with their geo tagging and time stamping, thus increases the efficiency and authenticity of the whole process. Also, the app has provision to create WhatsApp type interface with customized chat groups for stakeholders, easing the monitoring process at ground by respective state/DSC staff.
- 4.2.5 **Remote monitoring of online training & assessment:** Protocols for remote monitoring of online training and assessments will be prepared by NSDC to ensure quality delivery of online training and assessments. This protocol shall be followed in case online/blended mode is adopted in PMKVY 3.0.
- 4.2.6 **Assessment monitoring:** Timely and fair conduct of assessments of trained candidate is critical to maintain the credibility of assessments. Performance of training centres, assessors, assessment agencies (AA) and sector skill councils shall be monitored through data analysis and surprise inspections (basis SIP data) during assessments and in case of

¹²In PMKVY 2.0, surprise inspections were carried out in approx. 35% of STT TCs, 60% PMKKs, 14% SPL and 5% RPL locations.

¹³Monitoring mobile application "Senpiper" <https://nsdc.senpiper.com/login> has been developed, capturing real-time images of the centre/location for ensuring transparency. The mobile application was used extensively during surprise inspections by NSDC, SSCs & few SSDMs under PMKVY 2.0.

non-compliance, penal action will be taken as per the approved assessment penalty grid¹⁴.

4.2.7 **Candidate Feedback Mechanism:** The aggregated candidate feedback at the TC/TP level and at the scheme level is expected to help improve the quality of scheme delivery. With the aim of leveraging the learnings from call validation of enrolled candidates in PMKVY 2.0, the same mechanism has been proposed¹⁵ to capture the feedback on quality of training from certified candidates. Accordingly, as a first attempt an IVR based OBD will be made to record candidate feedback post their certification. The below process shall be followed:

4.2.7.1 The IVR based OBD feedback will be triggered¹⁶ within 7-14 days from the date of certification. For candidates who will be unreachable via OBD, a manual call will be attempted to get their feedback.

4.2.7.2 Feedback questions will be related to quality aspect of the training like training delivery, quality of trainers, assessment process, certification and placements.

4.2.7.3 Based on the responses, the OBD and CV score would be appropriately assigned in the TP/TC performance score card.

4.3 Performance monitoring tools

4.3.1 **Scorecards for STT and RPL¹⁷:** To objectively evaluate the performance of TP/TC/PIA/SPIAs, scorecards have been formulated based on input, output and compliance metrics. The purpose is to highlight the good performers, handhold those who have the potential to improve and disincentivize low performers through a data driven systematic performance assessment. Score card parameters are identified to reflect the qualitative and quantitative outcomes of the respective stakeholders. The score cards to be included in the SOP document prepared by NSDC post review from IMC, PMC and approval from EC and Scheme Steering Committee.

4.3.2 **Monthly monitoring insights:** Scheme level performance indicators will be identified and monitored on monthly basis. Data pertaining to enrolment, training, assessments & certification, placements is analysed across TPs/PIAs, sectors and geographic regions to generate reports on target vs achievement, regional penetration, access to skilling, gender, disability & vulnerable group's inclusion etc. Monthly monitoring insights will be generated by analysing the data to capture key trends and take corrective measures to achieve the overall objectives of the scheme. The framework can be shared with DSCs/ SSDMs/ SSCs to monitor their respective PMKVY 3.0 component and the indicator values can be consolidated at the national level.

¹⁴https://www.pmkvyofficial.org/App_Documents/News/penalty-grid-for-assessment.pdf

¹⁵ Sufficient number of certified candidates is awaited in 2020-21 at the time of compiling this document, to enable piloting of the proposed system for PMKVY 2.0

¹⁶ In planning stage to enable a SIP based auto trigger for OBD calls post certification

¹⁷ The Score cards have evolved with multiple iterations during PMKVY 2.0. to reflect stakeholder performance.

5. Monitoring Framework

Value Chain	Objective/ Verifiable Objective	Parameter	Method of Monitoring	Enablers	Role of stakeholders	Measures taken
Due Diligence	1. Compliance are met by the Training Partners as per Guidelines	Empanelment of Training Providers	Data validation from Skill India Portal and RFP processes	Empanelment parameters as per Guidelines and Target allocation methodology	<p>SSDM: Empanelment of TPs as per the Target allocation methodology/ Scheme Guidelines</p> <p>NSDC: Empanelment of TPs as per the Target allocation methodology/ Scheme Guidelines</p>	<p>Monitoring Team will evaluate the outcomes of the indicators and present to IMC. IMC may send a show cause notice to the responsible stakeholder if required.</p> <p>Impact on the respective Stakeholder scorecard</p>

Value Chain	Objective/ Verifiable Objective	Parameter	Method of Monitoring	Enablers	Role of stakeholders	Measures taken
Centre Accreditation and Affiliation	1. TPs and TCs meet the Accreditation and Affiliation criteria	Letter of Registration	Affiliation Process	CAAF Form	<p>SSDM: To ensure that TCs are complying to the Centre Accreditation and Affiliation Guidelines.</p> <p>NSDC: To ensure that TCs are complying to the Centre Accreditation and Affiliation Guidelines.</p> <p>DSC: To conduct surprise visits and check for compliance through mobile based Monitoring app</p>	Essential to be Deemed Ready for Target allocation and further compliance with Scheme Guidelines for starting training process Monitoring Team will evaluate the outcomes of the indicators and present to IMC. IMC may send a show cause notice to the responsible stakeholder if required. Impact on the respective Stakeholder scorecard app
		Physical Inspection	Affiliation Process	Physical inspection report (conducted by Inspection Agency)		
		Capacity of Training Centre for training under specific Job Role	SIP validations for allowing a TC to create a batch and start training	SIP validation parameters, Surprise Inspection, Continuous monitoring details as per Centre Accreditation and Affiliation process		

Value Chain	Objective/ Verifiable Objective	Parameter	Method of Monitoring	Enablers	Role of stakeholders	Measures taken
Mobilisation and Counselling	1. TPs are not over reporting the number of candidates mobilised in Kaushal Melas	Kaushal Melas	Compliance Monitoring: Verification	Details from reporting done for Kaushal Melas Surprise monitoring report	<p>DSC: Conducting Kaushal Melas periodically to mobilize candidates and create awareness about PMKVY. All the mobilized candidates will be counselled, and their Job roles will be decided.</p> <p>PIA/SSC: In case, the DSCs are not able to mobilize and register adequate number of training aspirants (at least 1.5 time of district-level target) within 30 days of target allocation to TP, the mobilization and registration activity may be carried out by the Training Providers themselves to meet the given target.</p> <p>SEO: Facilitating DSCs in conducting the Kaushal Melas.</p> <p>NSDC/SSDM: Collating the skill availability reports for future referencing during reallocation of targets.</p>	<p>Monitoring Team will evaluate the outcomes of the indicators and present to IMC. IMC may send a show cause notice to the responsible stakeholder if required.</p> <p>Impact on the respective Stakeholder scorecard</p>

Value Chain	Objective/ Verifiable Objective	Parameter	Method of Monitoring	Enablers	Role of stakeholders	Measures taken
Enrolment and Batch Formation	<p>1. Candidate & Batch level data is uploaded on the system SIP.</p> <p>2. Information on online batch to be uploaded in SIP at least 15 days prior to start date of the batch</p>	<p>Candidate Enrolment</p> <p>Mass Enrolments of school/college going students</p>	Compliance Monitoring: Verification	OBD, Call Validations (CV)	<p>PIA/SSC: Enable candidates for self-enrolment and ensure that enrolment of candidates as per the target allocated.</p> <p>DSC: Facilitate PIA/SSC by preparing a list of candidates which shall not be less than 1.5 times the target allocated to district. Once the Training Provider is identified under this model, this list of registered candidates shall be shared with Training Providers for further short-listing and enrolment. DSCs will also conduct surprise visits to the training centres to ensure that the enrolment of candidates is according to the guidelines and no mass enrolment is taking place.</p> <p>NSDC: Provide an IT-enabled platform under SIP to all the stakeholders to capture the lifecycle of the students. NSDC may hire a third-party vendor to conduct OBD and CVs for Compliance Monitoring checks.</p>	<p>TC wise report used to validate non-compliances during IMC decisions.</p> <p>Monitoring Team will evaluate the outcomes of the indicators and present to IMC. IMC may send a show cause notice to the responsible stakeholder if required.</p> <p>Impact on the respective Stakeholder scorecard</p>

Value Chain	Objective/ Verifiable Objective	Parameter	Method of Monitoring	Enablers	Role of stakeholders	Measures taken
Training	Compliance Monitoring through: 1.Surprise inspections at training centres 2.TC- Self Assessment through push notification 3.Training duration through AEBAS – record of log in/log out time stamp of trainer and candidate 4.Candidate feedback mechanism to check quality of trainer and training	Attendance	Compliance Monitoring: Authentication	AEBAS, Mobile app	<p>NSDC: A mobile based app will be provided to all TPs, TC-in charge and DSCs and following indicators will be monitored:</p> <ol style="list-style-type: none"> 1.Geo-Tagged and Time stamped photos 2. App Based Video calling 3. Random push notification TC self-assessment 4. Surprise visits reports from DSCs <p>NSDC will also hire third party vendor to capture feedback of candidates through OBDs and CVs</p> <p>DSCs: Conduct surprise visits to ensure candidates are being properly trained and TCs are in compliance with the scheme guidelines. All the data will be captured in the Mobile based monitoring app.</p>	TC wise report used to validate non-compliances during IMC decisions. Monitoring Team will evaluate the outcomes of the indicators and present to IMC. IMC may send a show cause notice to the responsible stakeholder if required. Impact on the respective Stakeholder scorecard
		Availability of TC facilities & infrastructure	Compliance Monitoring: Surprise Inspection; TC Self -Assessment	Mobile apps to capture Geo tagged and time stamped photos		
		Lab equipment	Compliance Monitoring: Surprise Inspection; TC Self -Assessment	Mobile apps to capture Geo tagged and time stamped photos		
		Training material	Compliance Monitoring: Online tracking; Surprise Inspection	KITS portal, IVR/Manual Calling/Mobile apps to capture Geo tagged and time stamped photos		

Value Chain	Objective/ Verifiable Objective	Parameter	Method of Monitoring	Enablers	Role of stakeholders	Measures taken
Training	Compliance Monitoring through: 1.Surprise inspections at training centres 2.TC- Self Assessment through push notification 3.Training duration through AEBAS – record of log in/log out time stamp of trainer and candidate 4.Online candidate feedback mechanism to check quality of trainer and training	Branding of PMKVY	Compliance Monitoring: Surprise Inspection; TC Self - Assessment	Mobile apps to capture Geo tagged and time stamped photos	<p>NSDC: A mobile based app will be provided to all TPs, TC-in charge and DSCs and following indicators will be monitored: 1. Geo Tagged and Time stamped photos 2. App Based Video calling 3. Random push notification TC self-assessment 4. Surprise visits reports from DSCs NSDC will also hire third party vendor to capture feedback of candidates through OBDs and CVs</p> <p>DSCs: Conduct surprise visits to ensure candidates are being properly trained and that TCs are in compliance with the scheme guidelines. All the data will be captured in the Mobile based monitoring app.</p>	Monitoring Team will evaluate the outcomes of the indicators and present to IMC. IMC may send a show cause notice to the responsible stakeholder if required. Impact on the respective Stakeholder scorecard
		Availability of Candidate enrolment Forms and Candidate Feedback forms	Compliance Monitoring: Surprise Inspection; TC Self - Assessment	Mobile apps to capture Geo tagged and time stamped photos		
		Regularity of Training including batch strength	Compliance Monitoring: Surprise Inspection; TC Self - Assessment	Mobile apps to capture Geo tagged and time stamped photos, App based Video calling.		
		Unethical practices by TC like giving misleading info about scheme to the candidates	Compliance Monitoring: Grievance/Complaints verification; Surprise Inspection	Mobile apps to capture Geo tagged and time stamped photos		

Value Chain	Objective/ Verifiable Objective	Parameter	Method of Monitoring	Enablers	Role of stakeholders	Measures taken
Training of Trainers and Assessor	1. TC compliance for Trainer certification	Trainer Qualification & ToT Certification	Compliance Monitoring: Surprise Inspection; TC Self - Assessment	SIP/SMART report, Monitoring Visit report	<p>PIA/SSC: To ensure that trainers are qualified as per the job-role wise eligibility criteria and have ToT certification.</p> <p>DSCs: To check Trainer certification during the Surprise visits</p> <p>NSDC: Availability of SIP for Trainer registration and nomination for Training & Certification</p>	<p>Monitoring Team will evaluate the outcomes of the indicators and present to IMC. IMC will adhere the approved process while evaluating each case</p> <p>Impact on the respective Stakeholder scorecard</p>

Value Chain	Objective/ Verifiable Objective	Parameter	Method of Monitoring	Enablers	Role of stakeholders	Measures taken
Training of Trainers and Assessor	2. SSC compliances for implementing ToT programs	1. Compliance with job-role wise eligibility of Trainers 2. Whether Trainer enrolment in ToT program is as per the batch type (New/ Existing) 3. Whether the eligible Trainer for financial benefit has been paid by SSC or not?	Compliance monitoring (SIP); SSC Self-Assessment; IVR based OBD/ Manual Call Validation, Monitoring Visit	SIP/ ToT report	PIA/ SSC: To ensure compliance on eligibility criteria; enrolment as per the batch type and pay out to eligible Trainers NSDC: A mobile based app will be provided to all PIAs/SSCs and following indicators will be monitored: 1. Geo Tagged and Time stamped photos 3. Random push notification PIA/SSC self-assessment 4. Validation from Trainers through OBDs and CVs	Monitoring Team will evaluate the outcomes of the indicators and present to IMC. IMC will adhere the approved process while evaluating each case Impact on the respective Stakeholder scorecard

Value Chain	Objective/ Verifiable Objective	Parameter	Method of Monitoring	Enablers	Role of stakeholders	Measures taken
Training of Trainers and Assessor	3. Assessor certification compliance for assessment/ SSC compliances for implementing ToT programs	<ol style="list-style-type: none"> 1. Compliance with job-role wise eligibility of Assessors 2. Whether Assessor enrolment in ToA program is as per the batch type (New/ Existing) 3. Whether the eligible Assessor for financial benefit has been paid by SSC or not? 	Compliance monitoring (SIP); SSC Self-Assessment; IVR based OBD/ Manual Call Validation, Monitoring Visit	SIP/ToA Report/ Mobile App to capture self-assessment report	<p>PIA/ SSC: To ensure compliance on eligibility criteria; enrolment as per the batch type and pay out to eligible Assessor</p> <p>NSDC: A mobile based app will be provided to all PIAs/SSCs and following indicators will be monitored:</p> <ol style="list-style-type: none"> 1. Geo Tagged and Time stamped photos 3. Random push notification PIA/SSC self-assessment 4. Validation from Assessors through OBDs and CVs 	<p>Monitoring Team will evaluate the outcomes of the indicators and present to IMC. IMC will adhere the approved process while evaluating each case</p> <p>Impact on the respective Stakeholder scorecard</p>

Value Chain	Objective/ Verifiable Objective	Parameter	Method of Monitoring	Enablers	Role of stakeholders	Measures taken
Assessment	<p>Ensuring timely and fair conduct of assessment of trained candidates through offline (pen & paper) and online (tab/computer) mode at the training centre.</p> <p>Monitor TAT of different stakeholders.</p>	<ol style="list-style-type: none"> 1. Random check on Assessment compliances - Attendance, Geo-tagging, Aadhaar Validation, candidate verification, or any other important compliance introduced in future 2. Assessment TAT monitoring (through SIP) 3. Online assigning of assessors and proctors as per the mode of assessment 4. Assessment blueprint availability for PMKVY3.0 job-roles 5. Assessor Guide availability for PMKVY3.0 job-roles 6. Compliance on mandatory live-proctoring feature for remote online assessments 	<p>SIP Reports (TAT & Results); Surprise visit at the assessment location/TC; IVR based OBD/ Call Validation; SSC Self-assessment; Random online verification of assessment process by giving access to the monitoring team</p>	<p>SIP report and database; PMKVY Assessor App; Mobile App to capture Self-assessment; Assessment Agency proctoring dashboard; Mobile application/ Agency for Surprise visit</p>	<p>NSDC:</p> <ol style="list-style-type: none"> 1. Monthly monitoring report on Assessments 2. Conduct Surprise visit and ensure that NSDC representative is present in at least 1 % of assessments 3. IVR based OBD/ Call validation as needed 4. Random online verification of assessment process by giving access to the monitoring team <p>DSC: Conduct surprise visits and be present while conduct of the assessment.</p> <p>SSC/ AB:</p> <ol style="list-style-type: none"> 1. Conduct Surprise visits at the assessment location/ TC and ensure that SSC representative is present in at least 5 % of assessments 2. Ensure monitoring compliance as per PMKVY3.0 guidelines 	<p>Monitoring Team will evaluate the outcomes of the indicators and present to IMC. IMC will adhere to the approved process while evaluating each case</p> <p>Impact on the respective Stakeholder scorecard</p>

Value Chain	Objective/ Verifiable Objective	Parameter	Method of Monitoring	Enablers	Role of stakeholders	Measures taken
Placement	Placement Verification	Candidate feedback	Compliance Monitoring: Call based feedback	CV & OBD	<p>NSDC:A Third party vendor will be hired to conduct OBD and CV. Employer verification calls and surveys will also be conducted</p> <p>SEO/DSC: DSCs and SEOs in collaboration will conduct a monitoring drive on a fortnightly basis where surprise visits will be conducted to the employer premises for all candidates under PMKVY in their districts on a sample basis. All the data will be captured on the mobile based monitoring app. SEOs will also ensure that Rozgar Melas are conducted by responsible stakeholder and the report of the same is shared with NSDC <i>*Call validations, employer verification calls and surveys to be done for International Placements</i></p>	<p>Monitoring Team will evaluate the outcomes of the indicators and present to IMC. IMC may send a show cause notice to the responsible stakeholder if required.</p> <p>Impact on the respective Stakeholder scorecard</p>
		Complaints/Grievances/RTI	Compliance Monitoring: Verification	CV& OBD, Surprise inspection		
		Employer Verification	Compliance Monitoring: Verification	Surprise Visits, Employer verification calls and surveys		
		Rozgar Mela	Compliance Monitoring: Verification	Surprise Visits, Employer verification calls and surveys		

Value Chain	Objective/ Verifiable Objective	Parameter	Method of Monitoring	Enablers	Role of stakeholders	Measures taken
Overall Scheme Monitoring						
TP/TC monitoring	TC/TP level performance	TC/TP level performance	Performance Monitoring: Score card	Score card Indicators identified from SIP data and analysed.	NSDC: A Scorecard will be prepared by NSDC to rank all the TPs/TCs in the ecosystem by evaluating various indicators and their performances respectively. In addition, NSDC will share an exhaustive monitoring report on a Bi-monthly basis with all the concerned stakeholders.	Ranking high and low performers
SSC/ Awarding Bodies	Assessment and ToT/ToA level	SSC/AB level performance	Performance Monitoring: Score Card	Score card Indicators identified from SIP data and analysed.	NSDC: A Scorecard will be prepared by NSDC to rank all the SSC/Awarding Bodies participating in PMKVY 3.0 in the ecosystem by evaluating various indicators of assessment and their performances respectively in ToT/ToA certification.	Ranking high and low performers

Learning from the monitoring to be captured in monitoring reports (monthly and overall scheme reports): The same to be implied during the implementation (existing phase of the scheme) and/or in the next phase.

6. Consequence Management

6.1 Procedure

- 6.1.1 The defaulting cases identified shall be sent a show cause notice to provide an explanation for the discrepancies observed with relevant proofs. The concerned entity shall be provided reasonable time to respond to the notice with relevant evidence. The responses and the submitted evidence would be analysed by the Monitoring team and then these cases would be presented to the Internal Monitoring Committee (IMC).
- 6.1.2 A response is considered “dissatisfactory” under any of the following conditions:
- If the stakeholder fails to submit the appropriate response on time.
 - If IMC finds that the compliance report submitted lacks enough supporting proofs /evidence.
 - If the explanation provided as per the compliance report is not found logical to defend the identified discrepancies.
 - If the investigation leads to an analysis that contradicts the explanation/ compliance report submitted by the stakeholder.
- 6.1.3 A response by the stakeholder is considered “satisfactory” when all the following conditions are met:
- If the concerned stakeholder submits the compliance report along with all the supporting proofs/evidence that may include documents, photographs, and videos.
 - If the explanation provided along with the proofs is found logical with regards to the discrepancies found.
 - If the investigation supports the explanation/compliance report submitted by the stakeholder.
- 6.1.4 Based on whether the response was satisfactory or dissatisfactory, and based on the nature and severity of the discrepancy, the IMC shall take appropriate action as per the approved penalty grid. The final decision shall be then communicated to the concerned stakeholders

6.2 Subsequent Measures

- 6.2.1 After due deliberations on the case in point, final decision is taken by IMC as per the approved penalty grid.
- 6.2.2 **Suspension and Blacklisting of Stakeholder under PMKVY:** Suspension shall be temporary, for a limited period for six months as per non-compliance penalty grid.
- 6.2.3 Blacklisting indicates that the concerned stakeholder will not be allowed to operate under PMKVY under any circumstances. The concerned stakeholder will be permanently debarred from the PMKVY ecosystem.
- 6.2.4 In case of suspension/blacklisting of a TC (in case of ToT/ ToA, the respective SSC will be Stakeholder), the following would be the additional consequences:

- The information related to suspension/blacklisting of a TC would be uploaded on the PMKVY website.
- The detailed consequences that may include financial penalty/recovery and target revocation shall be enforced on the concerned stakeholder by the IMC.
- Any remaining target allocated to the stakeholder will be transferred to the nearest TC/PMKK considering their capacity and placement performance.
- NSDC to prepare a detailed SOP on the aforementioned processes and present to IMC and PMC for approval