1 INTRODUCTION

This manual of Standard Operating Procedures (SOPs) is a handbook provided to the various functionaries for the implementation of the DDU-GKY. The starting point of the manual is the guidelines and the related policy documents. The manual is an outcome of a number of discussions held in National Institute of Rural Development and Panchayati Raj (NIRD&PR),Hyderabad and other places involving different stakeholders at various levels. In addition, consultations were also held with experts in different areas who are not part of the programme but are keen to ensure its success.

1.1 OUTLINE OF THE MANUAL OF STANDARD OPERATING PROCEDURES

Every item of work in the life cycle of a DDU-GKY project has been grouped into several modules. Every module is assigned a chapter and every item of the module has been detailed in separate sub-sections of the chapter. Most sub-sections have been divided into two tables. The first table gives the overview of the item of work and the second table details activities, actors and timelines. Most sub sections refer to several standard forms (SFs). These SFs are the instruments through which all items of work are to be undertaken and monitored. However, a few sub sections are written in the normal narrative form.

A breakup of the contents of each chapter and its overall thrust is given in Table 1.1.

Table 1-1 Contents of SOP and the overall thrust of each chapter

Chapter number and title	Thrust of the chapter
1 Introduction	The chapter deals with basic introduction of the SOP, procedures to make changes in guidelines and SOP, applicability of the SOP and important timelines in a project. It also covers roles of district administration, village level organisations and panchayats, and approach to quality.
2 PIA registration and project sanction	Covers the registration procedures currently under vogue.
3 Project implementation procedures	Covers financial and non-financial aspects of a project.
4 Training design and planning	Discusses the academic planning of a project
5 Training centres	Training centres, infrastructure and due diligence of a training centre is discussed here. Checks on quality of training to be initiated are also discussed here.
6 Training initiation	Starts with mobilisation and ends with

Chapter number and title	Thrust of the chapter
	freezing of a batch and dealing with screening and aptitude test.

1.1.1 Navigation of document

As explained earlier, most sub-sections are presented in two table format; the first table is titled "Overview" and gives a basic understanding of the procedure and the second table is titled "Activities" which brings out how the work is to be completed. In addition, most sub sections have standard forms to be filled which are mentioned in appropriate locations in the tables.

The best way to use the SOP is to:

- Locate the sub section for the appropriate procedure from the SOP contents page
- Go to the relevant page
- Review the overview table in the sub section to get an understanding of the procedure and then go to the activities table.
- Most of the overview and activities tables have a number of SFs mentioned in them.
- All the SFs are listed and located at the end of each chapter as per sequence of appearance in the chapter. They can also be located by referring to the list of standard forms available after the contents page. SFs are assigned section numbers suffixed with A, B and so on. Thus if Section 5.1 has three forms they would be called SF 5.1A, SF 5.1B and SF 5.1C. Further, if a form has more than one sub-form they are numbered with a numeral after alphabet. For example, sub-forms under SF 5.1B are numbered as SF5.1B1, SF 5.1B2, etc.

As an example we have reproduced the overview Table and activities Table of a subsection below:

3.2: Release of 1st instalment

Overview

Item	Description
Purpose	To lay down the fund release process for 1st instalment and issue of Project commencement order to PIA
Reference to Guidelines	Row 1, Instalment 1, table 6, para 5.9, page 56
Prerequisite/s	Uploading of executed MoU
Time for completion	10 working days after signing the MoU (MoU execution day is coded as I$_3$)
Resource/s	As per SF 3.2A: Bank account details and SF 3.2B: Project commencement order
Process owner:	For APS: SRLM For YPS: CTSA

Activities

Actor	Action	Time for completion	Relevant Documents
PIA	1. Opening dedicated bank account[1] for the project and linking it to Public Finance Monitoring System (PFMS) 2. Filling up the bank account details if PFMS is not operational.	To be completed at least 5 days before signing of MoU (I_3 - 5 days)	SF 3.2A: Bank account details
SRLM (For APS)/ CTSA (For YPS)	Release the first instalment amount of central & State shares and updating the status on designated web-link (It is mandatory central and state shares are released together This should be followed meticulously by fund releasing agencies)	latest by I_3+10 days	Nil
SRLM (For APS)/ CTSA (For YPS)	Issue of Project commencement order	latest by I_3+10 days	SF 3.2B: Project commencement order
Note: The project commencement date of the project will be from 30 days from the date release of central and state share from CTSA for YPS/ SRLM for APS			

1.2 APPLICABILITY OF SOP

This SOP will be applicable to all the DDU-GKY and Roshni projects operational in APS and YPS. Hence, the SOP delineates the procedures for APS and YPS when they are different. Similarly, processes which are common to both APS and YPS,they are stated without specifying the status of the states. It is reiterated that in all such cases where a distinction has not been made, the SOP would be applicable to all the states.

If an APS would like to amplify, modify or develop a particular set of protocols or develop its own set of protocols it can do so with prior approval of MoRD provided it is consistent with the guidelines. The state should make the revised SOP and forward a copy to MoRD and NIRD&PR. NIRD&PR will consider the proposal and forward it to MoRD with its comments for a final decision by MoRD. Till MoRD approves the changes this SOP should be adhered to.

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[1] If consortium partners are going to implement any activities and any outsourcing partner is engaged in training and placement towards the project, they have to open a dedicated bank account. All the project bank account needs to be mapped into PFMS, whenever the system becomes functional.

1.3 CHANGES IN GUIDELINES AND SOP

1.3.1 Version control

All changes in guidelines and SOP will be systematically tracked and monitored through a version control system. Each version will have a three digit number(like X.Y.Z) with the following meaning:

- First digit (X) will indicate major changes in the document
- Second digit (Y) will indicate minor changes in the document
- Third digit (Z) will indicate insignificant changes in the document

The changes in the document from previous version to the current one will be provided as per SF1.3A: Document and change history,which will be last page of the document. The latest document will be uploaded on the designated web-link.

1.3.2 Implementation process

PIA shall be required to adhere to DDU-GKY guidelines and the standard operating procedures (SOPs)as notified by the MoRD from time to time. These include changesin guidelines and modifications in procedures as notified by MoRD from time to time. Wherea PIA is not able to implement the project as per the revised guidelines/SOPs, it shall notify the MoRD in case of YPS and SRLM in case of APS within 10 working days of notification of revision by MoRD to initiate the process of mutual discussion as per section 4.3 (ii) of MoU, which reads as follows:

> The PIA and the lead partner shall comply with all terms and conditions (generally given as annexure to the sanction order), in addition to the norms specified under DDU-GKY Guidelines, 2013 (and anyadditional requirements arising out of revision in guidelines thereto as may be mutually agreed upon).

1.4 IMPORTANT EVENTS IN A PROJECT AND THEIR TIMELINES

A project is divided into two phases; inception phase and execution phase. Important events in each of the phase and the related timelines are given in the Table below. However, the times are indicative and some of the events may happen earlier or later. If events happen earlier than that indicated in the timeline then the rest of the timeline getsadjusted accordingly. However, if delays occur and times get extended remedial action as proposed elsewhere in the manual would get invoked.

An important point to note is the sequencing of inception and execution phases. While these events are shown as sequential for reckoning of timelines, it is stated that a PIA

can take up execution of the project 15 working days after fulfilling the project execution readiness conditions by submitting the project execution readiness form through the system. Details of project readiness conditions and the procedure for ensuring them are dealt in the manual separately.

Table 1-2 Timeline of major events

Phase	Code	Major Event	Indicative time gap between the events
Inception phase	I_1	Uploading of approved EC minutes[2]	0 day
	I_2	Uploading of Sanction order	15working days after I_1
	I_3	Execution of Memorandum of Understanding (MoU)	20 working days after I_2
	I_4	Release of 1st instalment and issue of Project commencement order	10 working days after I_3
	I_5	Submission of project execution readiness form	After I_1 to a maximum of 15 working days after I_4
Execution phase	E_1	Commencement of project	30 calendar days after I_4.
	E_2	Notification for release of 2nd instalment	As per prospective work schedule[3]
	E_3	Release of 2nd instalment	60 working days after E_2
	E_4	Notification for release of 3rd instalment	As per prospective work schedule
	E_5	Release of 3rd instalment	60 working days after E_4
	E_6	Completion of training	As per prospective work schedule
	E_7	Completion of placement	As per prospective work schedule but not later than 4 calendar months after E_6
	E_8	Release of 4th instalment and official closure of the project	14 calendar months after E_7

1.5 REMEDY FOR DELAY

For smooth implementation of a project it is important that all tasks are completed within the time allocated for it. Accordingly most tasks have been assigned a specific time to complete the task. This section deals with the procedures to be followed if a task is not completed within the time allocated to it.Action to be taken in case of delays is summarised as per agencies involved in the process.

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[2]Based on past experience it is assumed that at-least 15 working days gap will be available between release of EC minutes and issue of Sanction order. However, if the gap is less than 15 days, time for to trigger event I_3 will increase correspondingly.

[3] Prepared at the MoU stage and amended time to time as per the procedures laid out in SOP manual.

1.5.1 Delay by PIA in YPS

Steps to be taken are as follows:

- Notice 1: CTSA will generate a notice to the concerned agency with copy to MoRD giving five working days for completing the process.
- Notice 2: If the process is not completed within five working days of target date CTSA will initiate a second notice and advise MoRD to take action as per the process.
- Notice 3: After waiting for twenty working days after issue of first notice if PIA does not complete the process MoRD will initiate either of the following steps:
  If the process can be completed by a different agency (e.g. tracking by Q team of PIA can be replaced with CTSA team) MoRD will ask the agency to undertake the task. PIA will be imposed a suitable penalty for not completing the task along with recovery of actual cost incurred for implementing the task. For imposing this penalty no notice is required under the conditions of default discussed later. In addition MoRD will also initiate action under conditions of default.
- If the process has to be completed by PIA (e.g. signing of MoU) and the PIA is not responding, MoRD will issue notice under conditions of default and take appropriate action.

Note: All notices and penalties will be compiled and will become part of PIA performance evaluation module.

1.5.2 Delay by PIA in APS

In case of APS the duties of CTSA and MoRD will devolve onto the SRLM and action will be taken as per section above. The system will also be programmed to inform MoRD from notice 2 onwards.

1.5.3 Delay by CTSA for YPS/SRLM for APS

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

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

1.6 ACTION FOR DEFAULT

While the Guidelines and SOP seek to facilitate PIAs in achieving programme objectives, the PIA can default for a variety of reasons. Some of the reasons for default are:

- Shortfall in achievement of target
- Non compliance
- Fraudulent Practices

First level of safeguard against default by PIA is the concurrent monitoring and advisory system to be put in place through the ERP based interactive workflow system. Advisories shall be issued to the PIAs through the system regarding deficiencies noticed at various times.

However, if a PIA persists and does not perform/take remedial action, it can lead to penal action under this section against the PIA for default. The penal actions are categorized into two: minor and major. A classification of penalties under each category is given in the table below.

Table 1-3Classification of penalties to be imposed

Category	Penalty (indicative list)
Minor	Fine up to ₹. 25,000 per occasion Retraining candidates without any additional payment to PIA Closing of training centre/s Reduction of targets
Major	Closure of the project Black listing of PIA in the state Black listing of PIA in the country
Note: While imposing the penalties a competent authority can impose any of the penalties listed above that penalty. E.g. - While imposing major penalty of closure of the project a fine also can be imposed.	

The imposition of the penalty would involve two stages as given below:

a. Imposing of penalty would be done by the Imposing Officer.
b. Appeal against the penalty can be made to the Appellate Officer.

The levels of officers who can take action are given in the table below for APS.

Table 1-4Powers of officers to impose penalty for APS

Category	Imposing	Appellate Authority

	Authority	
Minor	COO/Skills, SRLM	Head, SRLM
Major	Head, SRLM	• Principal Secretary, RD, State Government • However for blacklisting across the country prior approval of MoRD will be required

In case of YPS the competent authority to impose penalty will be Joint Secretary (Skills), MoRD and appellate authority is Additional Secretary incharge of Skills in MoRD.

1.6.1 Procedure to be followed to impose the penalty

A show cause should be served by the nominated officers and PIA should be given 15 working days to submit the explanation. Based on the explanation, the Imposing Authority will impose punishment and communicate the same to the PIA.

PIA can file an appeal in 30 days to the Appellate Authority. The Appellate Authority can dispose the case in 30 days.

1.7 ROLE OF DISTRICT ADMINISTRATION

Notification would be sent to the respective SRLM by MoRD marking a copy of Sanction Order. Within 15 days of receipt of sanction order or uploading of sanction order on the website, SRLM must provide necessary information to the district authorities immediately.The District Administration headed by the District Collector plays a key role in implementation of DDU-GKY projects. In the districts where the NRLM is launched and in all APS formation of District Mission Management Unit (DMMU) is mandatory. In all other districts, where DMMU has not been constituted, the District Collector will form a DMMU by designating a key person as DMMU coordinator and nominating a team of officers to support the coordinator.For these appointments, the Collector will be guided by the instructions, if any, issued by SRLM. However, in the absence of any such instructions the Collector will act as per the local conditions.

The District Administration and DMMU will broadly have the following 3 functions:

A.   Mobilization

i. The PIA will appraise the DMMU about the mobilization plan and its execution plan as finalized with SRLM indicated in section 6.1 along-with the list of Gram panchayats for mobilization of candidates.

ii. The PIA will also brief the DMMU on the screening methodology to be adopted by them and the domain training they intend to offer to the candidates from that block. The PIA shall share their activity plan, mobilization calendar, entitlement chart and any other relevant information useful for the candidates with the DMMU so that transparency is established and maintained in implementing the scheme.

iii. The DMMU will facilitate mobilization of the candidates with the right aptitude and necessary qualifications for the domain. In the mobilization process DMMU will actively engage Village Level Organizations (VLOs).

iv. The PIA's shall inform the DMMU in advance about the scheduled dates for Parent – Trainer interaction, so that the DMMU team can plan its participation in advance.

v. It is further clarified that role of DMMU and other Government functionaries is that of facilitating the PIA's in targeting the youth for mobilization and in ensuring that the candidates and parents are informed about the scheme. The government functionaries are not expected to do selection of candidates or finalizing the list of candidates etc. These activities are within the purview of PIA as their payments are linked to training and placing the candidates.

vi. The process should be repeated till all the eligible candidates in the village are mobilized and screened.

vii. The DMMU will identify potential centres for job fairs and submit a budget to SRLM to be included in their budget. This will be based on the information collected from the VLOs.

B. Placement and Tracking

i. PIA shall submit list of youth who have been placed from the district along with details of placement, geographical distribution (i.e. - within district domicile, within state domicile, outside state domicile and outside the country) and gender break-up to the DMMU. PIA should provide contact numbers of the coordinator, training centre in charge and the employers. The DMMU will in turn pass these details to the VLOs.

ii. In case of female candidates DMMU will track them for 6 months. It will make a total of 3 calls to each candidate, i.e. - in 1st, 3rd and 6th month. The tracking details have to be uploaded on the designated web-link by DMMU. DMMU will be given an id and password for uploading the tracking data. The data will be shared with government functionaries as per situational needs but will not be available for public view.

C. Capacity building for Sub district functionaries

i. Dissemination of knowledge to key field officials of government departments is of vital importance for successful implementation of DDU-GKY. DMMU should organize

periodic workshops for the VLOs and BDOs about DDU-GKY. This shall be done on a quarterly basis.

ii. Workshops will be organized with modules on a) basics of DDU-GKY and its importance, b) mobilization, screening and identification of youth, c) placement and tracking and d) role of district and sub district functionaries, PRIs and VLOs in the programme.

1.8 ROLE OF VILLAGE LEVEL ORGANIZATION (VLOS) FORMED UNDER DDU-GKY& GRAM PANCHAYAT (GP)

As the mobilization procedure is based on panchayat saturation approach, the success of the programme hinges on active participation of VLOs and GPs.

The role of VLOs and GPs in implementation of DDU-GKY projects is as follows:

a. Identify and develop a database of eligible candidates as per conditions specified in the guidelines, which should be shared with the DMMU.
b. VLOs will help PIA contact candidates and their parents and take active participation in the counselling and screening process.
c. PIA/DMMU should share the details of the candidates placed in the village and the contact information of concerned official of the PIA or the call centre of the PIA with the VLOs.
d. VLOs should regularly monitor and track the placed candidates either directly or through the family members.
e. They should inform the PIA/DMMU whenever candidates need support at the place of work.
f. Feedback from the candidates should be informed to the PIA/DMMU.

1.9 APPROACH TO QUALITY

Quality is treated as an all pervading talisman in the programme and the PIA is given the central role to ensure quality of the programme. At the PIA level, two checks are envisaged; first being the PIA operations team (OP team) who have to ensure that its members do a good quality job at all times and at all levels. This is supplemented by the PIA quality team (Q team) who will further check the quality of outcomes and report the results.The TSA/SRLM will further check the quality of the programme based on the PIA Q team checks.

SOP does not give a specific composition of a Q team. However, the works to be undertaken by Q team are indicated in various processes given in SOP and PIA should plan Q team accordingly. It is reiteratedthat the primary responsibility for maintaining quality is that of the PIA and its Q team. Keeping this in spirit the Q team of PIA, though

it works under PIA umbrella, should be the primary watchdog to maintain the quality at all level. It should report all deficiencies in quality to the PIA management, and SRLM for APS and CTSA for YPS. The PIA management team should correct the deficiencies and send its compliance report not later than 10 days. Such a self-correcting mechanism is highly encouraged. However if it is observed that the Q team is not performing its duty properly then serious action will be taken against the PIA. Such an assessment of non-performance would become part of checks by SRLM and CTSA.

It is clarified that PIA OP team will verify and certify all the records at all times. The rest of the teams - PIA Q team, TSA and SRLM, will verify a 100% of some items/records and some items on a sample basis. Table 1.2 gives a breakup of the units to be assessed 100% and the items to be checked on a sample basis.

Table 1-5 List of items verified 100% and by sample

Sampling	Items
100 %	a) Project related records kept at headquarters/regional office, Training centres, Residential centres, b) Course curriculum and contents - c) Verification of candidates by PIA OP team, d) PPS payment – documentary evidence like bank transfers etc.
By sample	a) Candidate documentation, b) Assessment of training quality through prescribed methods, c) Watching of CCTV modules for various aspects of training quality, d) Placement and tracking, e) PPS payment – physical verification along with placement and tracking, f) Incentive - career progression, one year retention, foreign placement.

The samples will be randomly generated and controlled through an automated process. Neither the CTSA/SRLM, who normally draw the samples, nor the PIA Q team will know about the samples to be checked in advance. The conclusions to be drawn from assessment of samples and action to be taken are context sensitive, and will be explained at each stage accordingly.

1.10 ENTERPRISE RESOURCE PLANNING (ERP) PLATFORM AND INTERIM ARRANGEMENTS

ERP platform, titled ASDMS, is under development and once it is functional it will be the platform on which DDU-GKY Programme will be implemented. All the entities in the

system are required to update the data on the platform and this would be the basis for monitoring of PIAs performance and release of funds. The PIAs, however, have to maintain their MIS systems as it is a mandatory requirement.

When the ERP Platform of MoRD is fully functional, the system will have provision for handshake with the PIAs and State's computer systems. Till the complete version of the ERP system is in place, the data has to be entered multiple times.

As the ASDMS system is under development, transition arrangements will be made and instructions on switch over to ASDMS will be given separately. In the interim all the standard forms are included in the manual for reference and to be used till the forms are developed in ASDMS. Once the forms are developed in ASDMS they will be adapted as the standard forms. The alerts will also be auto generated by the ERP System.

The manual also refers to the various web links to be used once ASDMS is functional. These web links will be listed when ASDMS is functional.

1.11 LIST OF STANDARD FORMS IN CHAPTER 1

SF 1.3A: DOCUMENT AND CHANGE HISTORY