

Annexure I: Penalty Grid for Special Projects (Agenda 9.1)

S.No	Compliance Standards	Penalty proposed
1	Non Existence of the Centre	High
	- While batches as per SDMS are in progress	a) Issuing of a Show-Cause Notice to the SPIA with immediate stopping of fund disbursement and remaining target for the project until finalization of decision on SPIA's non-compliance
		If proven guilty by IMC -Action for 1st offence shall be as mentioned below 1) Refer to Target Reduction Calculations sheet for target reduction numbers for 'First Offence - High' 2) No disbursement for the said batch 3) Any disbursement made earlier for the discrepant batch shall be recoverable and adjustable in future payments to PIA
2	Fake Enrolments / Ghost candidates	High
		Issuing of a Show-Cause Notice to the SPIA with immediate stopping of fund disbursement and remaining target for the project until finalization of decision on SPIA's non-compliance
		If proven guilty by IMC -Action for 1st offence shall be as mentioned below 1) Refer to Target Reduction Calculations sheet for target reduction numbers for 'First Offence - High' 2) No disbursement for the said batch 3) Any disbursement made earlier for the discrepant batch shall be recoverable and adjustable in future payments to PIA
3	Non Availability of required infrastructure /tools and equipment for each job role post inspection	High
	- While batches as per SDMS are in progress	Issuing of a Show-Cause Notice to the SPIA with immediate stopping of fund disbursement and remaining target for the project until finalization of decision on SPIA's non-compliance
		If proven guilty by IMC -Action for 1st offence shall be as mentioned below 1) Refer to Target Reduction Calculations sheet for target reduction numbers for 'First Offence - High' 2) No disbursement for the said batch 3) Any disbursement made earlier for the discrepant batch shall be recoverable and

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		adjustable in future payments to PIA
4	Unethical Practices If the Training Centre is found indulging in unethical practices such as offering/demanding undue favours in cash or in kind to a stakeholder like Assessor , in order to influence the outcome of assessment OR with any other malafide intention affecting the outcome of the training	High
		Issuing of a Show-Cause Notice to the SPIA with immediate stopping of fund disbursement and remaining target for the project until finalization of decision on SPIA's non-compliance
		If proven guilty by IMC -Action for 1st offence shall be as mentioned below 1) Refer to Target Reduction Calculations sheet for target reduction numbers for 'First Offence - High' 2) No disbursement for the said batch 3) Any disbursement made earlier for the discrepant batch shall be recoverable and adjustable in future payments to PIA
5	a) Centre was closed at the time of visit b) Training not being conducted at the time of visit	High
	- While batches as per SDMS are in progress	Issuing of a Show-Cause Notice to the SPIA with immediate stopping of fund disbursement and remaining target for the project until finalization of decision on SPIA's non-compliance
		If proven guilty by IMC -Action for 1st offence shall be as mentioned below 1) Refer to Target Reduction Calculations sheet for target reduction numbers for 'First Offence - High' 2) No disbursement for the said batch 3) Any disbursement made earlier for the discrepant batch shall be recoverable and adjustable in future payments to PIA
6	Mass enrolments	High

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		Issuing of a Show-Cause Notice to the SPIA with immediate stopping of fund disbursement and remaining target for the project until finalization of decision on SPIA's non-compliance
		If proven guilty by IMC -Action for 1st offence shall be as mentioned below 1) Refer to Target Reduction Calculations sheet for target reduction numbers for 'First Offence - High' 2) No disbursement for the said batch 3) Any disbursement made earlier for the discrepant batch shall be recoverable and adjustable in future payments to PIA
7	Intimidating assessor to conduct assessment at a place other than authorized by SMART	High
		Issuing of a Show-Cause Notice to the SPIA with immediate stopping of fund disbursement and remaining target for the project until finalization of decision on SPIA's non-compliance
		If proven guilty by IMC -Action for 1st offence shall be as mentioned below 1) Refer to Target Reduction Calculations sheet for target reduction numbers for 'First Offence - High' 2) No disbursement for the said batch 3) Any disbursement made earlier for the discrepant batch shall be recoverable and adjustable in future payments to PIA
8	Non Availability of required infrastructure /tools and equipment for each job role post inspection- However, mandatory equipment is present at the centre	Medium
	- While batches as per SDMS are in progress	Issuing of a Show-Cause Notice to SPIA
		Warning Mail to be issued to the SPIA to comply with the PMKVY 2016-20 guidelines
		If proven guilty by IMC -Action for 1st offence shall be as mentioned below 1) No disbursement for the said batch 2) Any disbursement made earlier for the discrepant batch shall be recoverable and adjustable in future payments to PIA
9	Non Availability of SSC Certified Trainers at the Centre.	Medium

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	Exemption to be provided if the trainer has been formally nominated for the ToT and the ToT is pending from SSC's end	Issuing of a Show-Cause Notice to SPIA
		Warning Mail to be issued to the SPIA to comply with the PMKVY 2016-20 guidelines
		If proven guilty by IMC -Action for 1st offence shall be as mentioned below 1) No disbursement for the said batch 2) Any disbursement made earlier for the discrepant batch shall be recoverable and adjustable in future payments to PIA
10	Non Distribution of Induction Kits to the trainees	Medium
		Issuing of a Show-Cause Notice to SPIA
		Warning Mail to be issued to the TP to comply with the PMKVY 2016-20 Guidelines.
		If proven guilty by IMC -Action for 1st offence shall be as mentioned below 1) No disbursement for the said batch 2) Any disbursement made earlier for the discrepant batch shall be recoverable and adjustable in future payments to PIA
11	Non Distribution of Handbook to the trainees	Medium
		Issuing of a Show-Cause Notice to SPIA
		Warning Mail to be issued to the SPIA to comply with the PMKVY 2016-20 guidelines
		If proven guilty by IMC -Action for 1st offence shall be as mentioned below 1) No disbursement for the said batch 2) Any disbursement made earlier for the discrepant batch shall be recoverable and adjustable in future payments to PIA
12	Non Usage of AEBAS for recording Trainees and Trainers attendance	Medium
		Issuing of a Show-Cause Notice to SPIA
		Warning Mail to be issued to the SPIA to comply with the PMKVY 2016-20 guidelines
		If proven guilty by IMC -Action for 1st offence shall be as mentioned below 1) No disbursement for the said batch 2) Any disbursement made earlier for the discrepant batch shall be recoverable and adjustable in future payments to PIA
13	Non Adherence to PMKVY Marketing and Branding	Low

S.No	Compliance Standards	Penalty proposed
	Guidelines	
		Issuing of a Show-Cause Notice to SPIA
		Warning Mail to be issued to the SPIA to comply with the PMKVY 2016-20 guidelines
		Penalty equivalent to disbursement of the concerned batch, which shall be adjustable in future payments to PIA
14	PIA not adhering to project execution timeline	To be penalized as per revocation matrix. The penalty available in revocation matrix shall be automatic, contingent on specific condition as mentioned in the target revocation matrix
15	Training Centre not registered over SMART and AEBAS	To be penalized as per revocation matrix. The penalty available in revocation matrix shall be automatic, contingent on specific condition as mentioned in the target revocation matrix
16	Placement criteria not adhered to while execution of the project	To be penalized as per revocation matrix. The penalty available in revocation matrix shall be automatic, contingent on specific condition as mentioned in the target revocation matrix
14	Any other Offence not listed above	High/Medium/Low
		Any other offence which is not listed above to be categorized as High/Medium/Low offence by the IMC. The IMC may take a decision as it deems fit.
Note:-	All Suspension and blacklisting shall be linked to Aadhar number of the person linked with suspended/blacklisted entity	