

S.No	Compliance Standards	Penalty proposed
<b>1</b>	<b>Non Existence of the Center</b>	<b>High</b>
	- While batches as per SDMS are in progress	Issuing of a Show-Cause Notice to the TP and the TC with immediate stopping of fund disbursement and future batch creation until the finalization of decision on TC non-compliance.
		a) TC to be Blacklisted, if proven guilty b) Members/Partners/Directors managing such TC, to be barred from registering any center over SMART.
		Any disbursement(s) made earlier to the TP for the non-compliant TC under consideration, to be recoverable and be adjusted in future payments.
		TP to be responsible for completing training of the ongoing batches for the TC(s) without any future payments. In case TP does not complete ongoing batches, it will attract a penalty of 100% of the amount. Amount to be adjusted in future payments made to TP.
<b>2</b>	<b>Unethical Practices- Subletting*</b>	<b>High</b>
	<b>PMKVY Scheme allows only one level of Franchising.</b>  <b>Cases with 2 or more franchising levels, would be considered as Subletting</b>	Issuing of a Show-Cause Notice to the TP and the TC with immediate stopping of fund disbursement and future batch creation until the finalization of decision on TC non-compliance.
	<b>*After the cut off date set by NSDC no franchisee center to be allowed under PMKVY.</b>	a) TP and TC to be Suspended for six months, if proven guilty b) Members/Partners/Directors managing such TC, to be barred for six months from registering any center over SMART
		Amount disbursed earlier to the TC under consideration of penalty action be recovered from the TP for TC non-compliance.
<b>3</b>	<b>Fake Enrollments / Ghost candidates</b>	<b>High</b>
		a) TC to be Blacklisted, if proven guilty b) Members/Partners/Directors managing such TC, to be barred from registering any center over SMART.
		a) TC to be Blacklisted, if proven guilty b) Members/Partners/Directors managing such TC, to be barred for six months from registering any center over SMART
		Amount payable for the said TC to be forfeited

		TP to be responsible for completing training of the ongoing batches for the TC(s) without any future payments. In case TP does not complete ongoing batches, it will be attract a penalty of 100% of the amount. Amount to be adjusted in future payments made to TP.
4	<b>Non Availability of required infrastructure /tools and equipment for each job role post inspection</b>	High
	- <b>While batches as per SDMS are in progress</b>	Issuing of a Show-Cause Notice to TP and TC with immediate stopping of fund disbursement and future batch creation untill the finalization of decision on TC non-compliance.
		a) TC to be Suspended for six months, if proven guilty of not complying with PMKVY 2016-20 norms by not fulfilling the mandatory equipment requirements, with no further disbursement for ongoing batches b) Members/Partners/Directors managing such TC, to be barred for six months from registering any center over SMART
		Amount payable for the said TC to be forfeited
		TP to be responsible for completing training of the ongoing batches for the TC(s) without any future payments. In case TP does not complete ongoing batches, it will be attract a penalty of 100% of the amount. Amount to be adjusted in future payments made to TP.
5	<b>Mass enrollments</b>	High
		Issuing of a Show-Cause Notice to TP and TC with immediate stopping of fund disbursement and future batch creation untill the finalization of decision on TC non-compliance.
		a) TC shall be Suspended for six months, with no further disbursement for ongoing batches, if proven guilty b) Members/Partners/Directors managing such TC, to be barred for six months from registering any center over SMART
		Amount payable for the said TC to be forfeited
		TP to be responsible for completing training of the ongoing batches for the TC(s) without any future payments. In case TP does not complete ongoing batches, it will be attract a penalty of 100% of the amount. Amount to be adjusted in future payments made to TP.
6	<b>a) Center was closed at the time of visit b) Training not being conducted at the time of visit</b>	High

	<b>- While batches as per SDMS are in progress</b>	Issuing of a Show-Cause Notice to TP and TC with immediate stopping of fund disbursement and future batch creation until the finalization of decision on TC non-compliance.
		a) TC to be Suspended for six months, with no further disbursement for ongoing batches, If proven guilty and they are not able to submit proof of conduction of any training at the center b) Members/Partners/Directors managing such TC, to be barred for six months from registering any center over SMART
		Amount payable for the said TC to be forfeited
		TP to be responsible for completing training of the ongoing batches for the TC(s) without any future payments. In case TP does not complete ongoing batches, it will be attract a penalty of 100% of the amount. Amount to be adjusted in future payments made to TP.
8	<b><u>Unethical Practices</u></b> <b>If the Training Center is found indulging in unethical practices such as offering/demanding undue favors in cash or in kind to a stakeholder like Assessor , in order to influence the outcome of assessment OR with any other malafide intention affecting the outcome of the training</b>	High
		Issuing of a Show-Cause Notice to TP and TC with immediate stopping of fund disbursement and future batch creation until the finalization of decision on TC non-compliance.
		a) If proven guilty, TC shall be suspended for six months, with no further disbursement for ongoing batches b) Members/Partners/Directors managing such TC, to be barred for six months from registering any center over SMART
		Amount payable for the said TC to be forfeited
		TP to be responsible for completing training of the ongoing batches for the TC(s) without any future payments. In case TP does not complete ongoing batches, it will be attract a penalty of 100% of the amount. Amount to be adjusted in future payments made to TP.
9	<b>Intimidating assessor to conduct assessment at a place other than authorized by SMART</b>	High

		Issuing of a Show-Cause Notice to TP and TC with immediate stopping of fund disbursement and future batch creation until the finalization of decision on TC non-compliance.
		a) TC to be Suspended for six months, with no further disbursement for ongoing batches, if proven guilty b) Members/Partners/Directors managing such TC, to be barred for six months from registering any center over SMART
		Amount payable for the said TC to be forfeited
		TP to be responsible for completing training of the ongoing batches for the TC(s) without any future payments. In case TP does not complete ongoing batches, it will attract a penalty of 100% of the amount. Amount to be adjusted in future payments made to TP.
<b>10</b>	<b>Training not being conducted at the time of visit</b>	<b>Medium</b>
	- While batches as per SDMS are in progress	Issuing of a Show-Cause Notice to TP and TC with immediate stopping of fund disbursement and future batch creation until the finalization of decision on TC non-compliance.
		TC to be issued warning mail, if they are able to submit proof of conduct of any training at the center
<b>11</b>	<b>Non Availability of required infrastructure /tools and equipment for each job role post inspection</b>	<b>Medium</b>
	- While batches as per SDMS are in progress	Issuing of a Show-Cause Notice to TP and TC
	However, mandatory equipment is present at the center	Grading to be reduced by 1 star. Warning mail shall be issued for mending its ways.
<b>12</b>	<b>Non Availability of SSC Certified Trainers at the Center.</b>	<b>Medium</b>
	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 TP and TC
		Warning Mail to be issued to the TP to comply with the PMKVY 2016-20 guidelines, if proven guilty.
<b>13</b>	<b>Non Distribution of Induction Kits to the trainees</b>	<b>Medium</b>
		Issuing of a Show-Cause Notice to TP and TC
		Warning Mail to be issued to the TP to comply with the PMKVY 2016-20 Guidelines.
<b>14</b>	<b>Non Distribution of Handbook to the trainees</b>	<b>Medium</b>
		Issuing of a Show-Cause Notice to TP and TC

		Warning Mail to be issued to the TP to comply with the PMKVVY 2016-20 Guidelines.
15	<b>Non Usage of AEBAS for recording Trainees and Trainers attendance</b>	<b>Medium</b>
		Issuing of a Show-Cause Notice to TP and TC
		Warning Mail to be issued to the TP to comply with the PMKVVY 2016-20 Guidelines.
16	<b>Non Adherence to PMKVVY Marketing and Branding Guidelines</b>	<b>Low</b>
		Issuing of a Show-Cause Notice to TP and TC
		Warning Mail to be issued to the TP to comply with the PMKVVY 2016-20 Guidelines.
17	<b>Any other Offence not listed above</b>	<b>High/Medium/Low</b>
		Any other offence which is not listed above to be categorized as High/Medium/Low offence by the IMC. The IMC to forward the case with comments to the PMC for action.
<b>Note:-</b>	<b>All Suspension and blacklisting shall be linked to Aadhar number of the person linked with suspended/blacklisted entity</b>	

Total Points Scored by a TP	1* Total number of TCs under that TP
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Points deduction for each non compliance as follows		
High	Medium	Low
1	0.5	0.2

Number of TCs under a TP	Points of TPs after accomodating non compliant TCs		
	1st Level of non compliance	2nd Level of non compliance	3rd level of non compliance
Less than 10	Less than 80% and greater than 60%	Greater than 40% and less than or equal to 60%	Less than or equal to 40%
10 to 20	Less than 85% and greater than 75%	Greater than 65% and less than or equal to 75%	Less than or equal to 65%
Greater than 20	Less than 90% and greater than 80%	Greater than 70% and less than or equal to 80%	Less than or equal to 70%
Penalty on TP	Strict Warning mail while publishing the same over NSDC and other affiliated websites	TP is barred from creating new TCs under him	Suspension of TP from the system with disbursement of fund directly to TCs under him, which are operating as per norms

*Assuming each center has been given 1 point falling under a TP	<p><b>For eg:-</b> A TP having 8 TCs under it (either self owned or franchise). 1 TC caught for high level, 2 for medium level and 2 for low level of offence under this TP.</p> <p>1) TPs Total Score = 8          2) TP's negative score as per grid = <math>1*1 + 2*0.5 + 2*0.2 = 2.4</math>          3) Points of TP after non compliance = 5.6          4) TP score as % of total = <math>5.6/8.0 * 100 = 70\%</math>          5) <b>Action on TP :-</b> Since TP has less than 10 TCs under it, with score between 80%-60%, hence, it falls under 1st level of non compliance and attracts a low level of penalty, where TP shall be issued a strong warning mail and the same shall be published over NSDC and other affiliated website</p>
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Action on Subsequent Offences				
Nature of offence	2nd Offence	3rd Offence	4th Offence	5th Offence
High	a) TC to be Blacklisted b) Members/Partners/Directors managing such TC, to be barred from registering any center over SMART			
Medium	30% of the disbursement amount to be deducted for the TC.	a) Suspension of the TC for six months b) Members/Partners/Directors managing such TC, to be barred for six months from registering any center over SMART	a) TC to be Blacklisted b) Members/Partners/Directors managing such TC, to be barred from registering any center over SMART	
Low	10% of the disbursement amount to be deducted for the TC.	30% of the disbursement amount to be deducted for the TC.	a) Suspension of the TC for six months b) Members/Partners/Directors managing such TC, to be barred for six months from registering any center over SMART	a) TC to be Blacklisted b) Members/Partners/Directors managing such TC, to be barred from registering any center over SMART