J- 17060/6/2014 Aajeevika Skills
Government of India
Ministry of Rural Development
Department of Rural Development
(Rural Skills Division)

New Delhi, dated 5th July, 2016

Notification:35/2016

Subject: Project appraisal toolkit for conducting qualitative appraisal in Stage II of the appraisal process of project applications in DDU-GKY

The stages in appraisal process for project applications for DDU-GKY were notified vide Notification 28/2015 dated 15th June 2015. The guidance note and project appraisal toolkit for the qualitative appraisal in Stage II of the appraisal process is hereby notified, that would be used from the date of this notification to prepare the appraisal. Any recommendations made to EC or PAC 30 days after the issuance of this notification need to be necessarily made using the toolkit hereby notified.

2. The SRLMs, State Skill Missions and CTSAs can hire project appraisal agencies to conduct qualitative appraisal. As noted under Section 5.12 of DDU-GKY Guidelines on Page 59, every PIA applicant shall be required to pay an appraisal fee to the CTSA in case of a project in a YP state, and the designated TSA of State Nodal Skilling Agency/SRLM in case of a project in an AP state, at a rate notified by MORD from time-to-time. It should be noted that the fee of Rs. 25,000 paid by PIA applicants at the time of application is the application fee, and not appraisal fee, that needs to be paid separately.

3. The SRLMs, State Skill Missions and CTSA should occasionally conduct random independent verification of qualitative appraisals conducted by project appraisal agencies and qualitative appraisals conducted by their own staff.

4. This issues with the approval of competent authority.

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To:

1 All Secretaries (in-charge) of Rural Development in State Governments.
2 All State Nodal Agencies for Skill/SRLM
3 Central Technical Support Agencies (NIRD&PR and NABCONS)
4 All Registered Project Implementing Agencies
5 All officials in DDU-GKY, MORD
6 All officials in Rural Livelihoods Division, MORD
7 Guard File
8 Shri Rabindra Keshari—to upload the same on DDU-GKY website.

Guidance note for use of project appraisal toolkit for conducting qualitative appraisal in Stage II of the appraisal process of project applications in DDU-GKY

1. Introduction

1.1. This cover note explains how to use the project appraisal toolkit in order to conduct the Stage II of the appraisal process (detailed project appraisal including qualitative assessment of the PIA applicant and the proposal per-se), as referred to in Notification 28/2015 dated 15th June, 2015.

1.2. The project appraisal toolkit has two parts, a scorecard and a questions sheet, and is meant to help the appraisal team perform three specific tasks:

i. **Calculate the score for each of the seven parameters** as laid down in Notification 28/2015 on the basis of scoring schema provided in the questions sheet, and thus arrive at the scorecard that is to form the basis for recommending a project proposal for approval by Empowered Committee for YP States or Project Approval Committee for AP States.

ii. **Identify risks that need to be mitigated by the PIA applicant** for its proposed project to achieve desired outcomes, and agree on a risk mitigation action plan with the PIA applicant. These risks cover areas like fiduciary risks in giving funds to agencies, risks in achieving project outcomes like providing quality employment opportunities and quality training to DDU-GKY candidates.

iii. For those PIAs where they haven't conducted courses compliant to NCVT's MES or SSCs' QP-NOS or NSQF for at least 1 year, or those that have only worked in skilling programs that are not placement linked, **review the proposed approaches of PIA applicants for operations that they haven't undertaken in the past**. This review is to evaluate whether the approach is based on full understanding of risks and intricacies of that operation, whether the approach is practically feasible, and whether the PIA applicant has the capacity and the resources to execute the approach.

1.3. The following documents may be found attached to this guidance note: Scorecard 1 (pdf), Question Sheet 1 (pdf), Scorecard 2 (pdf), Question Sheet 2 (pdf), DDU-GKY Qualitative Appraisal Tool (excel file)

2. Note on initial screening in Stage II of the appraisal process

2.1. The initial screening is like a pre-qualification stage wherein those who fulfill any of the following conditions will need to be filtered out for the purpose of qualitative appraisal:

2.1.1. Major penalties have been imposed on the PIA: PIA has been blacklisted by MORD in the country, PIA's project has been recommended for closure.

2.1.2. PIA applicant has been blacklisted by other ministries of GOI and state government and this has been duly accepted.

2.1.3. PIA applicant is under bankruptcy proceedings, which come to the notice.

2.1.4. Any other reason that would adversely affect the fiduciary capability of the organization duly approved by the competent authority in GOI or the state where such cases must be specifically brought to the notice of the approving authority and recorded in writing.

2.1.5. The online application has not been filled as per the instructions, or does not contain documents as required.

2.1.6. The online application contains incorrect or misleading information, or information that is different from that provided in supporting documents.

3. How to read and use the toolkit

3.1. Before beginning the qualitative appraisal and deciding what information to collect for appraisal, the appraisal team should begin by identifying the past experience of an PIA applicant from the following two options:

3.1.1. PIA applicant has already conducted for at least 1 year, courses compliant to NCVT's MES or SSCs' QP-NOS or NSQF. These may include programs that were placement linked or otherwise.

3.1.2. PIA applicant has no experience in skilling at all, or may have conducted some form of skilling not compliant with NCVT's MES or SSCs' QP-NOS or NSQF, or may have conducted courses compliant to NCVT's MES or SSCs' QP-NOS or NSQF for less than 1 year, or may have provided only placements to candidates but not skilling.

3.2. The project appraisal toolkit has two options for the Scorecard. Based on the past experience of the PIA applicant, the appropriate Scorecard may be selected. For PIA applicants covered by para 3.1.1 above, Scorecard 1 and Question Sheet 1 should be used. For PIA applicants covered by para 3.1.2, Scorecard 2 and Question Sheet 2 should be used.

3.3. Scorecard: This is the top sheet where the final scores are to be entered for each of the 7 parameters. For PIA applicants covered by para 3.1.1, Scorecard 1 will be filled based on the scores of 25 questions in Question Sheet 1. For PIA applicants covered by para 3.1.2, Scorecard 2 will be filled based on the scores of 13 questions in Question Sheet 2. Score of each question is to be entered in the column '*Score as per the appraisal*' in the Scorecards. Using the aggregate score of each parameter, and number of questions in each parameter, the normalized (average) score of each parameter and its color code can be arrived at. For example, in Scorecard 1, for the parameter 'Training and placement track record', if the 4 questions are scored 4, 6, 4, and 10, the aggregate score will be 24, and given that there are 4 questions, the normalized score of the parameter would be 24 divided by 4, i.e. 6. The parameter would thus get scored Yellow as per Notification 28/2015.

3.4. The Question Sheet allows the appraisers to understand the following:

3.4.1. Which questions need to be answered for <u>scoring</u>: Questions Sheet provides the questions that need to be asked for scoring and the scoring schema for each of the questions, on the basis of which these questions can be scored. This question series has been numbered with the prefix SQ (i.e. SQ series).

3.4.2. Which questions need to be answered for <u>identification of risk:</u> Questions Sheet provides the questions that need to be asked to specifically identify risks in certain areas. While these risk areas can't be quantified using a scoring schema, answers to these questions provide useful qualitative information about the organization. This question series has been numbered with the prefix RQ (i.e. RQ series)

3.4.3. Which questions need to be answered to understand PIA applicant's proposed approach for certain processes: Organizations that have not undertaken courses compliant with NCVT's MES or SSCs' QP-NOS or NSQF, need to propose approaches for skilling operations. Organizations that have not undertaken placement linked skilling programs also need to propose approaches for their placement operations. For the purpose of identifying areas in which the PIA applicant need to propose an approach, questions have been provided in the tool. This question series has been numbered with the prefix AQ. (i.e. AQ series).

3.4.4. What information needs to be collected before the appraisal begins to answer the abovementioned questions in Question Sheet.

3.5. Additional note for Question Sheet 1: For the purpose of interviews to be conducted for Scorecard 1, the Question sheet 1 identifies which questions need to be asked to which employees of the PIA applicant. The soft copy of the spreadsheet can thus be filtered based on interviewees, and printed for ready reference during interviews of PIA staff, candidates, alumni and employers. This option is not available for Question Sheet 2, since there would be no operations team available for skilling that can be interviewed.

4. Guidance on Scoring

4.1. Score of each of the 7 parameters: Score of each parameter is the normalized score (i.e. average of the score) of its constituent questions. Based on this normalized score of each parameter, the parameter is to be color coded as noted in Notification 28/2015 as follows: Green (scores 8-10), Yellow (scores 4-7), Red (scores 1-3). As noted in Para 4 of Annexure to Notification 28/2015 (page 7), if two or more parameters are given a 'Red' colour, then the proposal shall not be recommended for approval by the CTSA (in case of YP states) or SRLM/State Skills Mission (in case of AP states).

4.1.1. Calculation of normalized score in special cases: Those PIA applicants that have conducted courses compliant to NCVT's MES or SSCs' QP-NOS or NSQF, but have only worked in those skilling programs that are not placement linked, the normalized score may be given by ignoring following 8 placement linked questions: SQ6: Voice of the Candidates: Placement Team, SQ9: Process results: Placement percentages, SQ10: Process results: Placement fitness, measured by duration, SQ11: Process results: Candidates' salaries, SQ12: Candidate Engagement: Approach to milestones in training, SQ14: Candidate Engagement: Processes of placement support, SQ17: Employer Engagement: Feedback, SQ18: Employer Engagement: Interaction with Candidates. In these cases, the appraisal team should review the 'approach' of the PIA applicant around these areas.

4.2. In case the normalized score of a parameter is not an integer, no upwards rounding off should be done. All scores with non zero decimal points must be rounded down to an integer. For example, if the score of a parameter is 3.7, the score should not be considered 4. In this example, the score should be considered 3 for the purpose of scoring the parameter, and that parameter should be given a Red as per Notification 28/2015. Score of 4 for each question

represents the minimum standard that must be met by a PIA applicant, and any normalized score of a parameter below 4 would be considered below the minimum standard required.

4.3. If the answers to any question based on appraisal findings do not squarely fit within any of the options in the scoring schema, the score can be given on the basis of option from the scoring schema that appraisal finding is closest to. If the appraisal team is unsure about choosing a score between two options, it is advised to look at the option for higher score first, and if the evidence available falls short of satisfying the conditions for that score, the score must be given from the lower scoring options, with reasons supported by evidence.

4.4. Scores to SQ series questions need to be necessarily based on available evidence. In this respect, please note that:

4.4.1. Evidence can include documentation of tasks performed, letters, emails, reports, physical checks, reports generated manually or by ERP system, affirmation by third parties like candidates and employers.

4.4.2. Consistency of oral statements by staff, i.e. processes being explained similarly by PIA applicant staff can also be counted as evidence. This would be the situation in those cases where documentation might be sparse but processes are well understood and applied.

4.4.3. Lack of evidence is indicated by information being absent, information being anecdotal at best, or when inconsistent information is provided by different sources in PIA applicant.

4.5. No special scoring scheme has been developed for champion employers and captive employers. However, given the nature of these PIA applicants, it is expected that their scores would be usually higher in certain areas like placement and training material because of an alignment with their core business activities. For example, in SQ16 of Scorecard 1, an employer training for its own captive employment would score higher, given that it would be involved in developing the training content for its own workforce.

5. Identifying project risks, and risk mitigation action plan

5.1. Risks will come in the way of achieving the expected outcomes. Identifying drivers of risks in the PIA applicant's *processes* and *results* is a key task in the project appraisal process. These risks alert the appraisers to possible reasons why the PIA applicant may not succeed in delivering the objectives of DDU-GKY. These risks may be obtained and understood from multiple sources, which are described in the paragraphs that follow.

5.2. A score of less than 8 for any of the SQ series questions indicates a risk and indicate that current processes of PIA applicant need to be upgraded to ensure that the PIA applicant will achieve outcomes. In order to best understand the risks, the appraisal team should start by reading the scoring schema in Question Sheet, and by understanding the conditions for scoring of 8 and above. The team should then identify the gaps by comparing the appraisal findings against the conditions. The appraisal team should bring these gaps to the notice of PIA applicant, and in the appraisal document.

5.2.1. While the scoring for SQ9, SQ10 and SQ11 of Scorecard 1 needs to be done on an aggregate basis for all trades that are included in the analysis, any exceptional deviances noticed in specific trades or courses that PIA applicant has applied for should be noted separately with any risks identified. For instance, it is possible that on the basis of placement data of three different trades, the average placement is found to be 72%. However, if placement data for one of the trades is 55%, this should be noted separately, even though the score for SQ9 should still be given on the basis of aggregate data of three trades. Further, there should be a risk mitigation action plan for the particular trade where the placement percentage is low, or alternatively, targets may be shifted to another trade by the PIA applicant.

5.2.2. Example 1: SQ1 of Scorecard 1 asks: *Who is accountable for various KPIs at middle and senior management level in the organization?* If, in a given PIA applicant, accountability is defined for some KPIs but not all KPIs, the PIA applicant will receive a score of 4 in SQ1. This highlights that accountability and specific standards have not been defined for all KPIs, with the risk that processes that determine those KPIs may not get monitored effectively. If accountability is defined for all KPIs, with specific standards having been defined for all KPIs, the risk in this area would be considered low or absent.

5.2.3. Example 2: SQ18 of Scorecard 1 asks: *How is interaction between the candidates and employers facilitated? Are any guest lectures, campus visits, site visits for students organized?* If, in a given PIA applicant, each batch verified has met two employers through campus visits or site visits, the PIA applicant will get a score of 6. This highlights that while efforts to expose candidates to employers and working conditions are in place, they provide limited exposure to the candidates. However, if each batch has met at least 4 employers through campus visits or site visits, the PIA applicant will get a score of 10. This would also indicate that adequate exposure to the industry has been provided, and risk in this areas is low or absent.

5.3. Risks beyond the scoring matrix:

5.3.1. As noted earlier in paragraph 3.4.2, questions of RQ series will not lead to scoring, but these have been included in order to help the appraisers identify risks that may affect project implementation. These risks should also be addressed in the risk mitigation action plan, along with risks that emerge from lower scores as described in para 5.2.

5.3.2. The appraisers may themselves identify risks that have not been covered in the project appraisal toolkit, and the appraisal team should cover these in their report as well.

5.3.3. For each of the processes, the appraisal team should obtain comments from the process owners during the interviews on how robust the processes are, and how they can be improved. These should be considered for identifying risks and the suggestions on improvements should be considered for the risk mitigation action plan. Example: SQ15 of Scorecard 1 asks, *What is your approach towards identifying weak students, tracking them, and investing additional effort to help them learn and perform better?* Let us consider a possibility that in the course of the appraisal, the trainers of PIA applicant share that due to glitches in the ERP, scores of latest formative assessments override scores of past formative assessments. This issue should be included in the appraisal report and the PIA should be asked to address the issue. This is an example where the process is well defined, and the

trainers are able to explain and provide evidence, however, the process is not clearly applied in ERP system. While there may be tendency to ignore this glitch, in the DDU-GKY appraisal, it is required that the glitch be highlighted as a process gap. The glitch should not be ignored because the appraisal team believes that there is otherwise a good process in place.

5.3.4. The toolkit has taken care to ask specific questions in interviews to those people who are expected to know answers to those questions (refer to para 3.5). If they do not know the answers, this usually is an indicator of flaws in PIAs operations, sharing or learning mechanisms. This should be flagged as a risk in the appraisal. Example: SQ13 of Scorecard 1 asks: *What percentage of candidates interviewed were not briefed regarding the job description, expected salary, and migration out of home district?*. This is also an interview question for interview of the counselors. If the counselor is unable to answer the question, or if the counselor's answer is different from that described by the PIA in its description of approach submitted before the appraisal, it indicates that the processes described by PIA are not effective. Any employee who has been with the PIA applicant for 3 months or more should be expected to know their area of operation well.

5.3.5. PIA applicants that are being appraised using Scorecard 2 and Question Sheet 2 would be required to propose their approaches to various areas of skilling. For example, *Question AQ5: Is there a clear approach for who will accountable for various KPIs at middle and senior management level in the organization?*. If the appraisers find an approach ill-defined, or inadequate, the same may be pointed out to the PIA applicant, and the PIA applicant may be asked to modify and propose a revised approach before the appraisal is completed. Alternatively, the deficiency may be noted in the appraisal report, and PIA applicant may be requested to address the concerns in the risk mitigation action plan.

5.4. Risk mitigation action plan:

5.4.1. The risks that are identified by appraisal team should be addressed in the risk mitigation action plan given by the PIA applicant to improve the processes or results. This risk mitigation action plan itself needs to be reviewed by the appraisal team. At the time of submission of the project appraisal report, a clear risk mitigation action plan that is developed by the PIA to mitigate the risks and reviewed by appraisers would be sufficient. It is after the receipt, review and acceptance of the risk mitigation action plan that the appraisal would be complete.

5.4.2. The appraisers should review and approve the risk mitigation action plan on the bases of:

5.4.2.1. Whether the plan is based on full understanding of risks.

5.4.2.2. Whether the plan is practically feasible.

5.4.2.3. Whether the PIA applicant has the capacity and the resources to execute the plan.

5.4.2.4. Whether any action has already been taken in the direction of the plan.

5.4.3. Each SQ, RQ and AQ series question represents a distinct area of operation and risk, and risk associated with it needs to be mitigated individually. Thus:

5.4.3.1. Risk mitigation action plan should be available for each of the SQ series questions that score 6 or below, and each of the RQ series questions that indicate a risk

5.4.3.2. For each of the AQ questions where the approach is found inadequate on the basis of review, the PIA applicant should be asked to revise its approach.

6. Additional Guiding Principles

6.1. Measure of capability: The project appraisal tool gives a measure of PIA applicant's current capability, its fit to undertake and run a successful, criteria and rule based operations. It does not give a measure of an PIA applicant's performance on DDU-GKY Guidelines or SOP, if it hasn't already worked with DDU-GKY. It is not expected at the appraisal stage that PIA applicants processes are in compliance with that of DDU-GKY guidelines and SOP. Therefore absence of past implementation of DDU-GKY SOPs does not have to be a constraint.

6.2. Function over form: Throughout the toolkit, terms have been used to capture the essence of what they represent, and these terms are not restrictive. For instance, the *candidate feedback* might be known by another name, but this should not deflect or distract the appraisal team. Similarly, the *project head* might be known by another name, but she should be asked all the questions that the appraisal team would otherwise ask someone who heads skilling projects for the PIA applicant. *KPIs* (key performance indicators) may not be called KPIs, but may be called, say, *results parameters*. In other words, the objectives and spirit of the qualitative appraisal is more important than differences in use of language.

6.3. In case the PIA applicant plans to outsource any of the activities to a partner organization or if the application is made as a consortium, the relevant functions of the partner organizations need be appraised as if they were a part of the PIA applicant. For instance, if placement services are outsourced, the interviews of placement officers of the partner organization will be conducted as if they were a part of the PIA applicant. If there is a consortium where one partner commits to provide bridge funding between tranches, the same should be considered for scoring based on working capital cover.

6.4. An approach is a systematic and repeatable method of doing things. It provides guidance on how to perform a task, it has clearly defined rules, defined series of steps and processes, timelines, periods & dates, who is responsible, formats, documentation required, data to be entered, checks and balances defined, information to be generated, reported & shared, where is the process to be carried out and in whose presence, technology to be used etc. It is not ad hoc, and can be repeated by multiple people in multiple instances. The appraisal team should check whether the approaches being used and proposed are effective and relevant.

7. Recommendation of exceptional projects

7.1. As per Notification 28/2015, if two or more parameters are given a 'Red' color code, then the proposal shall not be recommended for approval by the CTSA (in case of YP states) or SRLM/State Skills Mission (in case of AP states). It is hereby notified that in case the color code is 'Red' in two or more parameters, a proposal may still be recommended by the project appraisal agency for consideration with detailed explanation and reasons for recommendation in cases where:

7.1.1. The project is innovative; or

7.1.2. There is no risk to the mission and objectives of DDU-GKY due to nature of the PIA applicant as an organization, their business or their industry.

8. Capabilities and skills required in the appraisal team

8.1. An appraisal manager should be appointed by the agency appraising the project, who should review the appraisal activities at the end of day every day, and make sure that appraisal activities are internally vetted. The appraisal manager should be a person with work experience of 8 years or above, should have led a team in the past, should preferably have the experience of having conducted project appraisal or due diligence public or private grants or investments. The appraisal manager should:

8.1.1. Make sure that the appraisal plan is being followed

8.1.2. Review the assessment, understanding and decisions of the appraisal team

8.1.3. Review risk areas and PIA's risk mitigation action plan.

8.1.4. Ensure that appraisal process is being diligently followed, and sign off on the appraisal report. She will be responsible for the appraisal in letter and spirit.

8.2. An expert in statutory compliances, taxation and finance should be designated to provide support to the appraisal team. This should preferably be a chartered accountant. Her role should be to help the appraisal team with technical concepts like calculations for working capital, filing of annual returns to ROC, analyzing credit information reports issued by CIBIL, financial analyses etc.

8.3. An SME or industry expert should be appointed to comment on the plan for tools, equipment and consumables proposed by the PIA applicant. The SME should also comment on training plan, training curriculum, teaching and learning material (TLM), source of TLM, trainers' profiles. It is expected that the SME should be a part of the field appraisal team, and in exceptional cases, where the SME is not a part of the appraisal team, SME should undertake desk appraisal and provide specific questions and areas that she wants the field appraisal team to look into. Skype calls can conducted by SME with existing trainers to assess their skill training capacity. Ideally, the SLRMs and CTSAs should empanel SMEs that can be part of appraisal teams.

8.4. It is suggested that a team of at least two appraisers is appointed for field visits. These could be the people who have the abovementioned skills and roles. Preferably, at least one of the members of the field visit team should have industry experience, and at least one of the members should have a quality certification or have worked in quality assurance. It is recommended that at least two training centers are visited. From our experience it has been found that field visits can be conducted with:

8.4.1. Two appraisers providing 3 days for visit to headquarters, and visits to training centers.

8.4.2. Additionally, 3 days may be taken by one appraiser for writing the appraisal report, while up to additional 6 days may be spent by another appraiser contacting candidates and employers and conducting physical verification.

9. Logistics and Planning

9.1. Items in this section provide guidance on logistics and planning, so that the appraisal process is carried out smoothly. However, this is not an exhaustive list, and the appraisers should exercise their judgment in planning the appraisal process.

9.2. Sampling of candidates for physical verification should be random, and a record of the randomization should be kept. A randomization software can be used, or a function in a spreadsheet software can also be used. The authenticity of the random sampling and the sample itself should be signed by a person of a rank not below the supervisor of the appraisal manager. In case some of the candidates or their employers from the sample are unreachable for physical verification, the part of the sample that is unreachable may be replaced using another random sample generated from the list of remaining placed candidates. The appraisal team may consider drawing the sample from batches that finished three to nine months before the appraisal to increase the likelihood of being able to reach out to candidates.

9.3. Based on findings of the physical verification, the placement percentage claimed by the PIA applicant may need to be adjusted. For example, if an PIA applicant claims to have placed 800 candidates out of 1000 that they have trained, and in the course of physical verification of 30 randomly selected candidates only 27 are found to have been placed, this difference should be extrapolated to the rest of the data set. This would mean that for the purpose of scoring SQ9 of Scorecard 1, number of placed candidates would be considered to be 800 x 27/30, i.e. 720. Thus, the placement percentage for the purpose of SQ9 of Scorecard 1 would be 72%.

9.4. It is recommended that the PIA applicant be given a four-week notice for the field visit. Along with the notice, the information and documents that are needed for appraisal, as mentioned in Question Sheet, should be sent as well. PIA should be asked to send this information and documents at least two week before the field visit starts. The list can be obtained from 'Documents/Information to be obtained before the appraisal begins.' column in the Question Sheet. PIA applicants that do not respond within the given period with all the requisite information should be filtered out for that cycle of PAC or EC approval.

9.5. The PIA should be asked to submit all documents required before appraisal together, preferably uploaded on a Dropbox folder, Google drive or any other cloud based storage service, shared with appraisal team.

9.6. On receipt of the organization chart, an appraisal schedule should be communicated in advance, wherein the schedule of interviews should be agreed with PIA staff in advance. Utmost care should be taken to ensure that interviewees know in advance the specific date and time that they will be interviewed. PIA should be clearly notified that if deemed necessary, interviews can be conducted in private, in presence of no one else but people that are being interviewed.

9.7. Appraisal team should request the PIA to appoint a single point of contact (SPOC) for the appraisal.

9.8. Appraisal team should agree on the training centers that will be visited by the appraisal team.

9.9. The *interviewee wise questionnaire* should be printed in advance and stapled as a booklet and carried for field appraisal.

9.10. Interaction with candidates and employers should be scheduled before as well as at the end of the appraisal, since a lot of information received from PIA applicant staff would need to be cross verified.

9.11. The SRLM/State Skill Mission/CTSA/Project Appraisal Agency may consider subscribing to a Commercial CIR service of CIBIL to directly obtain credit reports of PIA applicants.

9.12. Understand the industry hiring practices for trades that prospective candidates would work in.

9.13. A copy of the appraisal scorecard and findings for each of the questions must be shared with the PIA applicant for it to respond with a risk mitigation action plan. A signed acknowledgment of the receipt of the appraisal report should be obtained.

9.14. Filing, storing of records, and archiving of records would be governed by records management procedures of Government of India, and require storage until otherwise specified by MoRD. These records would be fully subject to audit by Government of India.

9.15. Physical verification with candidates and employers should be video recorded, wherever possible and permitted by the candidates and employers.

10. Format of the report

10.1. The report for project appraisal should have following sections, in the given order. Additions can be made to this by the appraisers, but none of the sections should be dropped.

a. Final Recommendation
   i. Scorecard
   ii. Executive summary and recommendations
   iii. Risks Identified
b. Brief overview of project application, vision and mission of the organization, organizational background, description of previous experience, description of promoters, directors and senior management team, industry analysis and skills gap assessment.
c. Detailed Findings as per the Questions Sheets. This should necessarily include columns that contain answers to all the SQ, RQ and AQ series questions, scores, risk areas identified, details of proposed approaches of the PIA applicant where applicable.
d. Risks and Risk Mitigation Action Plan
e. Annexure
   i. Annexure 1 – Technical Score
   ii. Annexure 2 – Priority Score
   iii. Annexure 3 – Project Application and results of desk verification.
   iv. Annexure 4 – Additional information and evidence collected. All the evidence should be labeled/coded/numbered and referenced in the scoring matrices, and saved with that label/code/number on a cloud based drive.

Scorecard 1

Scorecard 1 - For PIA applicants that have conducted MES/QP-NOS/NSQF compliant courses for at least 1 year.

Parameter	Sub Parameter	Maximum Score	Applicable to those applicants that have not worked in placement linked programs	Score as per the appraisal	Normalized Score of the Parameter (Aggregate Score divided by number of questions) and Color
Organization Strength	SQ1: Governance: Accountability for KPIs	10			
	SQ2: Governance: Internal audit	10			

*Descriptive answers to **RQ1, RQ2, RQ3, RQ4, RQ5, RQ6, RQ7, RQ8 and RQ9** to be noted in the report.*

Training and Placement track record	SQ3: Voice of the Candidates: Aptitude Test	10			
	SQ4: Voice of the Candidates: Feedback	10			
	SQ5: Voice of the Candidates: Review and Analysis	10			
	SQ6: Voice of the Candidates: Placement Team	10	No		

*Descriptive answers to **RQ10** to be noted in the report.*

Sector experience	SQ7: Measurement and Analysis: Review of KPIs by senior management	10			
	SQ8: Measurement and Analysis: Monitoring remote locations	10			
	SQ9: Process results: Placement percentages	10	No		
	SQ10: Process results: Placement fitness, measured by duration	10	No		
	SQ11: Process results: Candidates' salaries	10	No		

*Descriptive answers to **RQ11, RQ12** to be noted in the report.*

	SQ12: Candidate Engagement: Approach to milestones in training	10	No		
Experience in Proposed State	SQ13: Candidate Engagement: Brief given to the candidates	10			
	SQ14: Candidate Engagement: Processes of placement support	10	No		
	SQ15: Candidate Engagement: For students that need more support	10			
	SQ16: Employer Engagement: Training design and content	10			
	SQ17: Employer Engagement: Feedback	10	No		
	SQ18: Employer Engagement: Interaction with Candidates	10	No		

*Descriptive answers to **RQ13, RQ14** to be noted in the report.*

Training Infrastructure	SQ19: Training Infrastructure: Plan for tools, equipment and consumables.	10			
	SQ20: Teaching and Learning Material: Usefulness of Teaching and Learning Material	10			

*Descriptive answers to **RQ15, RQ16, RQ17, RQ18** to be noted in the report.*

Financials	SQ21: Working Capital	10			
	SQ22: Debt Servicing Capability	10			

*Descriptive answers to **RQ19** to be noted in the report.*

Field Visits	SQ23: Quality of Trainers	10			
	SQ24: Training of Trainers	10			
	SQ25: Salaries of Trainers	10			

Descriptive answers to RQ20, RQ21, RQ22 to be noted in the report.

Question Sheet 1: For PIA applicants that have conducted QP-NOS/NSQF compliant courses for at least 1 year.

	Questions	Documents/Information to be obtained before the appraisal begins.	Scoring Schema				
			1 point	4 points	6 points	8 points	10 points
Vision and Mission							
RQ1	What is the vision/mission of the PIA applicant and goals over the next 3-5 years? Note: Note any references to workforce performance, workforce learning, work culture, communication, ethical behavior, positive experience for candidates and employers, socially and economically disadvantaged groups that DDU-GKY works with (rural poor, women, SC/ST, minorities).	Vision-mission document or statement	N/A	N/A	N/A	N/A	N/A
Leadership							
RQ2	Whether at least one of the promoters, directors, or chief executives have more than 5 years' overall experience and at least 2 years in either providing skilling/training or placements in captive employment or otherwise? Does the applicant demonstrate effective experience or have access to experience parallel to project with DDU-GKY?	Description of experience of promoters, directors, and chief executives and their experience in providing skilling/training or placements in captive employment or otherwise.	N/A	N/A	N/A	N/A	N/A
RQ3	Whether at least one of the promoters, directors or chief executives has experience of working with the socio-economic groups with which DDU-GKY works?	Description of experience of promoters in working with socio-economic groups that DDU-GKY specifically works with.	N/A	N/A	N/A	N/A	N/A
RQ4	Are any of the promoters or directors on RBI's willful defaulters list?	List of promoters and directors and self-declaration that none of the promoters or directors are on RBI's wilful defaulters list	N/A	N/A	N/A	N/A	N/A
RQ5	What are the CIBIL Scores of directors and promoters during the last 6 months? Are there any scored lower than 700, which would be an indicator of risk? Note: CIBIL score of NA (Not Available) or NH (No History) indicates that no risks have been identified. As per CIBIL website, 79% of the loans approved are for individuals with a score greater than 750. Where credit history is less than 6 months old, the score is given between 1-5. Here, a score of 3 denotes a medium risk and score of 1-2 denote high risk.	CIBIL scores of directors and promoters.	N/A	N/A	N/A	N/A	N/A
Strategy							
RQ6	Is there a SWOT analysis available for the project? What are the conclusions from the same? What are the core competencies of the organization (what do they do very well), what are their strategic challenges, and their strategic advantages?	Is there a SWOT analysis available for the project? What are the conclusions from the same? What are the core competencies of the organization (what does the organization do very well), what are your strategic challenges, and your strategic advantages?	N/A	N/A	N/A	N/A	N/A
RQ7	In case the applicant has any outsourcing/consortium partners for DDU-GKY project, whether there is a clarity on role of the outsourcing/consortium partners?	Description of the role of outsourcing/consortium partners, if any.	N/A	N/A	N/A	N/A	N/A

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	Questions	Documents/Information to be obtained before the appraisal begins.	Scoring Schema				
			1 point	4 points	6 points	8 points	10 points
Governance							
SQ1	Who is accountable for various KPIs at middle and senior management level in the organization?	Organization chart with names (if available), designations and KPIs that each person is responsible for, with respect to skilling operations. Refer to the exhaustive list of KPIs below: Exhaustive list: i. Enrollment percentage of each batch, ii. Drop out percentage, iii. Attendance of candidates and trainers, iv. Performance of candidates in formative assessments, v. Status of OJT conducted for each student, vi. Performance of candidates in summative assessments, vii. Conversion rate from candidates trained to candidates taking assessment tests, viii. Salaries of candidates, ix. Placement percentages, x. Candidate retention duration with employers, xi. Proportion of repeat employers of the PIA's candidates, xii. Placement status for up to one year after candidates have finished training, xiii. Adherance to lesson plan and training calendar, xiv. Performance in projects against targets and annual action plan, xv. Candidate satisfaction and dissatisfaction Description of what standards or bands have been defined for each KPI	**No clear accountability** for KPIs	Accountability is **defined for some KPIs** but not all.	Accountability is defined for **some KPIs but not all, with specific standards having been defined**	Accountability is defined **for all KPIs,** but specific standards have not been defined for all KPIs.	Accountability is **defined for all KPIs**, with **specific standards/bands** having been defined for all KPIs.
SQ2	Is there a process of independent internal or quality audit for existing skilling operations? During the appraisal, obtain supporting evidence for independence of auditors.	Process of internal or quality audit for skilling operations. Please mention name of the organization that conducts internal audit, and names of current internal auditors, their designations, and other tasks that they handle in the organization. Please submit the last internal audit report submitted by the auditors.	There is **no process of internal or quality audit** for skilling operations.	Internal audit is **non-independent** (i.e. conducted by those involved in the skilling operations)		Skilling operations are subject to independent internal audit **conducted by a team within the organization**, but independent of the operations team. For existing DDU-GKY PIAs, Q-team would be an equivalent of team conducting internal audit.	Skilling operations are subject to independent internal audit conducted by a team independent of the PIA applicant. For existing DDU-GKY PIAs, CTSAs or SRLM inspections would be an equivalent of team conducting internal audit.
RQ8	How frequent are the adverse auditor comments in audited financial statements of last three years?	Audited Financial Statements of the PIA for last three years.	N/A	N/A	N/A	N/A	N/A
RQ9	Whether Income Tax Returns, Service Tax Returns, and annual filings with ROC (say, in case of companies), ETDS, VAT, PF, ESI and other applicable returns for the last three years have been timely, and payments of respective dues have been on time?	Statutory payments and returns--Income Tax Returns, Service Tax Returns, and annual filings with ROC (say, in case of companies), ETDS, VAT, PF, ESI and other applicable returns--may be provided for review during the appraisal.	N/A	N/A	N/A	N/A	N/A

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	Questions	Documents/Information to be obtained before the appraisal begins.	Scoring Schema				
			1 point	4 points	6 points	8 points	10 points
Voice of the Candidates							
SQ3	Is there an **aptitude test** used at the time of counselling of the candidates? Additionally: During appraisal, obtain the results of 3 candidates on a sample basis and re-assess the candidates on the aptitude test for testing the fairness of original assessment. The SME should review the aptitude test for applicability to the trade, and for its appropriateness to test potential DDU-GKY candidates.	Description of aptitude test used for counselling the candidates, who was it procured from or developed by, and who is it administered by.	**No aptitude test** is used.	An aptitude test that is internally developed by PIA applicant customized to vocational training or to the trade is used inconsistently.	An **aptitude test used by multiple organizations,** customized to vocational training or the trade is used inconsistently.	An aptitude test that is internally developed by PIA applicant customized to vocational training or to the trade is used consistently. (This could include a professional or educational qualification or certification used as a proxy for standardized test)	An aptitude test used by multiple organizations, customized to the trade for vocational training is **used consistently.**
SQ4	What are the ways in which **feedback** of the candidates is recorded? Additionally: During the appraisal, obtain supporting evidence for existence of the system to gather feedback of candidates. Cross check with current candidates existence and information on feedback system.	Description of process of obtaining feedback from the candidates, copy of the format used for obtaining feedback, and frequency at which feedback is mandatorily obtained.	**No processes (or forms)** have been developed and shared with candidates to capture candidate feedback or candidate.	Candidates are able to share feedback with center incharge, and if they choose with higher administrative staff if they choose to, using forms or other methods.	Defined approaches exist to obtain feedback mandatorily from the candidates.	Defined approaches exist to obtain specific mandatory feedback on various aspects of the candidate experience.* For existing DDU-GKY PIAs, taking feedback in the specified format at the end of the program would count for 8 points.	Defined approaches exist to obtain specific feedback **directly by PIA HQ** on various aspects of the candidate experience.*
Note: Various aspects of training experience can include training content, trainers, residential facilities, administrative experience, mental health, others etc.							
SQ5	Is there a **review and analysis of the feedback** received from candidates?* Additionally: During the appraisal, obtain record of actual feedback received. Cross check current with candidates the instances of improvements identified after feedback was shared.	Description of process of recording and analyzing candidate feedback, and process of grievance redressal, and information about who reviews and analyzes the feedback received, at what frequency. Please share examples of problems that candidates have shared in the past that have been addressed.	CEO/COO and Academic Head **do not review candidate feedback** at all.	Either CEO/COO **or** academic head review candidate feedback **occasionally**, but not regularly.	CEO/COO **and** academic head review candidate feedback **occasionally**, but not regularly.	Either CEO/COO **or** academic head review candidate feedback **regularly or for each batch.**	CEO/COO **and** academic head review candidate feedback **regularly or for each batch.**
Note: Review can be evidenced by one or more of the following: learnings leading to changes in processes, frequency of use of information, emphasis and evidence given by interviewees, minutes of meetings, reports presented e							

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	Questions	Documents/Information to be obtained before the appraisal begins.	Scoring Schema				
			1 point	4 points	6 points	8 points	10 points
SQ6	Does the **placement team contact placed candidates** regularly to identify their pain areas/obtain their feedback, and coordinates provision of requisite support? Additionally: During the appraisal, specifically check the evidence and record for scheduled and structured implementation of a defined approach to contacting candidates. Confirm with past trainees.	Description of process of staying in touch with placed candidates and obtaining their feedback and pain areas, and approach to providing post placement support and being in touch with candidates to ensure better retention of candidates after placement	There is **no team that contacts placed candidates** and coordinates requisite support.	A team contacts placed candidates infrequently and coordinates requisite support, or support is inadequate. Note: Default score of 4 for those organizations that have not worked in placement linked programs, if the organization proposes an approach.	N/A	A team **contacts placed candidates consistently as per a defined schedule** and coordinates requisite support.	A team **contacts placed candidates consistently as per a defined schedule, and obtains information on specific parameters** and coordinates requisite support.
RQ10	**Interview selection of current students** to find 1. What is your motivation for entering a skilling program? 2. Why did you select the trade in which you are getting training? 3. Are you aware of expected job description, salary, migration out of home district, career prospects? 4. What is your experience with training quality, trainers, residential facility, quality of food? 5. Would you recommend this training center to others? 6. What do you know about: i. The industry, ii. Responsibilities and difficult parts of doing the potential job, iii. Potential employers, iii. Hours and shifts of duty.		N/A	N/A	N/A	N/A	N/A

Measurement and Analysis							
SQ7	i) What information do the CEO/COO/Head of Operations (Skilling operations) review vis-a-vis exhaustive list of KPIs? ii) At what frequency is this information reviewed? Additionally: During the appraisal, analyze whether the data exists, reports exist, and see if any KPIs need corrective action Understand if those KPIs were reviewed and corrective action was suggested by CEO/COO/Head of Operations. Check whether following exist: i) formats, ii) defined responsibility for "collecting, collating, and submitting information", and iii) defined responsibility for "receiving and analysing information".	Details of what KPIs do CEO/COO/Head of Operations review with what frequency from the list given below. Reports reviewed for three months before the date of appraisal. Exhaustive list: i. Enrollment percentage of each batch, ii. Drop out percentage, iii. Attendance of candidates and trainers, iv. Performance of candidates in formative assessments, v. Status of OJT conducted for each student, vi. Performance of candidates in summative assessments, vii. Conversion rate from candidates trained to candidates taking assessment tests, viii. Salaries of candidates, ix. Placement percentages, x. Candidate retention duration with employers, xi. Proportion of repeat employers of the PIA's candidates, xii. Placement status for up to one year after candidates have finished training, xiii. Adherance to lesson plan and training calendar, xiv. Performance in projects against targets and annual action plan, xv. Candidate satisfaction and dissatisfaction	No evidence of periodic review	Evidence of **inconsistent review** of less than 8 KPIs.	Evidence of inconsistent review of **8 KPIs or more.**	Evidence of **consistent review of 10 KPIs or more** in unstructured methods like whatsapp, SMS, and email texts.	Evidence of **consistent review** of all 14 KPIs regularly using structured reporting formats (excel, ERP or PPT).

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	Questions	Documents/Information to be obtained before the appraisal begins.	Scoring Schema				
			1 point	4 points	6 points	8 points	10 points
SQ8	How does the PIA HQ **monitor training centres** from the headquarters? Additionally: During the appraisal, review inspection reports, compliance reports, and corrective action taken.	Description of i. Approach to monitor training centres away from headquarters, including frequency and schedule of inspections by which people, ii. If used, the standardized checklist used for inspections. ii. Mechanism for ensuring compliance with items noted in inspection and monitoring reports.	**No** inspections or remote checks are undertaken.	Inspections and checks are **undertaken but all of the following conditions for fair and effective inspections are not met:** i) From field visit, it is clear that checks appear adequate in ensuring quality of operations (e.g.: cleanliness, training calendar being followed, student grievances being addressed, assessments being fair etc.) ii) Inspections are conducted once a month for each center. iii) Surprise inspections are conducted. iv) Standardized checklists are used for conducting inspections	**2 of the conditions** for fair and effective inspections are met	**3 of the conditions** for fair and effective inspections are met	**All 4 conditions** for fair and effective inspections are met.
Process results							
SQ9	What is the average placement percentage (percent of trained students that found employment) for the batches that finished training in last 1 year in placement linked programs? Note: For the placement percentage to be calculated, use the number of people who found employment as numerator, and number of people who were trained after batch freezing as a denominator. During the appraisal, appraisal team should conduct **physical verification of 30 randomly selected candidates from placement data provided,** and confirm the authenticity of the information of employment and salaries. (This can include meeting the candidates, their families, employers.) Qs for candidates should include: 1. Who was your employer? 2. What was your salary immediately after employment? 3. How long did you stay with your first employer? 4. What is your current salary? 5. What are the benefits you receive? 6. Feedback on training, residential services, placement services, grievance redressal, responsiveness of trainers	Candidate wise data for current/past projects with names, phone numbers, initial employers names, employer address, latest known employer name, starting salaries, latest known salary, whether appeared for assessment or not, permanent/family address of the candidate, result in external assessments. Notes: 1. These data should be for those candidates that enrolled in the training program and did not drop out before batch freeze. 2. If possible, these data should be for placement-linked training programs only. 3. These data should be provided for those sectors/trades with those duration of courses (3 month, 6 month etc.) in which the PIA applicant has proposed projects, and if the proposed projects are in different trade or of a different duration than those that the PIA applicant has experience in, data from the courses that best match the courses of proposed project should be used, and this should be noted in the risk areas. 4. These data may be obtained for batches that finished training 14 to 2 months before date of project application, to allow for job search period.	i. Data not available, or placed less than 30% (1 point) ii. Placed 31-40% (2 points)	iii. Placed 41-49% (3 points) iv. Placed 50-55% (4 points) Note: Default score of 4 for those organizations that have not worked in placement linked programs, if the organization proposes a robust approach for placements.	v. Placed 56-60% (5 points) vi. Placed 61-65% (6 points)	vii. Placed 66-70% (7 points) viii. Placed 71-80% (8 points)	ix. Placed 81-90% (9 points) x. Placed 91-100% (10 points)

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	Questions	Documents/Information to be obtained before the appraisal begins.	Scoring Schema				
			1 point	4 points	6 points	8 points	10 points
SQ10	With respect to the randomly selected 30 candidates that were interviewed during physical verification, what proportion of days did they work with their first employer or other employer(s) in the first six months of having started their first job after finishing training?		i. Data not available, or for less than one month (1 point) ii. Up to 2 months (2 points)	iii. Up to 2.5 months (3 points) iv. Up to 3 months (4 points) Note: Default score of 4 for those organizations that have not worked in placement linked programs, if the organization proposes a robust approach for placements.	v. Up to 3.5 months (5 points) vi. Up to 4 months (6 points)	vii. Up to 4.5 months (7 points) viii. Up to 5 months (8 points)	ix. Up to 5.5 months (9 points) x. All six months (10 points)
SQ11	What is the average starting salary for the batches that finished training in last 1 year in placement linked programs? Note: Please use the figure of cost to company for this purpose. This may include benefits like subsidized meals, transport, residential services, contributions to funds that can be encashed by the employee not conditional upon duration of service. Note: Please note that you're likely to receive the cost-to-company information from the PIA applicant, whereas the candidates are more likely to give you the take-home amount. This should not be considered an inconsistency, and both these data points should be noted in the appraisal report	-	i. Data not available, or average salary is less than Rs. 4,000 (1 point) ii. Average salary is Rs. 4,000-4,999 (2 points)	iii. Average salary is Rs. Rs. 5,000-5,999 (3 points) iv. Average salary is Rs. 6,000-7499, (4 points) Note: Default score of 4 for those organizations that have not worked in placement linked programs, if the organization proposes an approach.	v. Average salary is Rs. 7,500-8999 (5 points) vi. Average salary is Rs. 9,000-11,999 (6 points)	vii. Average salary is Rs. 12,000-14,999 (7 points) viii. Average salary is Rs. 15,000-19,999 (8 points)	ix. Average salary is Rs. 20,000-24,999 (9 points) x. Average salary is above Rs. 25,000 (10 points)
RQ11	Of the alumni that have been working for a year or more, please mention some case studies of the career growth and high salaries they have been able to achieve.	Of the alumni that have been working for a year or more, please mention some case studies of the career growth and high salaries they have been able to achieve.	N/A	N/A	N/A	N/A	N/A

Performance in DDU-GKY, if applicable							
RQ12	Review of performance of PIA in DDU-GKY, if it's already an existing PIA.	If an already existing PIA, inspection reports of Q-team, CTSAs or SRLM, and information of yellow alerts, red alerts and notices of default issued.	Following risks should be addressed: 1. Red alerts and notice of default are addressed and closed; and 2. Issues noticed in inspection reports are addressed and closed. 3. Minor penalties are complied with.				

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	Questions	Documents/Information to be obtained before the appraisal begins.	Scoring Schema				
			1 point	4 points	6 points	8 points	10 points
Candidate Engagement							
SQ12	**(To be asked in the interview)** **6 Milestones:** How does the PIA know that a candidate will: 1. Enroll in the training 2. Complete the training and not drop out 3. Accept a job and be willing to migrate, if required 4. Will stay in the job for more than 3 months 5. Will stay in the job for 12 months 6. Will progress in their chosen career (with salary above Rs. 15,000 within a year) Additionally: During the appraisal, check for integration, does mobilizer gets inputs from placement staff about the needs of employers? Do mobilizers know what kind of candidates are willing to take up jobs and are willing to migrate, if required?	1. Description of processes to be followed for candidate mobilization and counselling. 2. If already available, samples of IEC material, details of links in the proposed districts in form of self-help groups, community based organizations, experience of field staff in community mobilizing in the area in which projects have been applied. 3. Please also explain: i) what information is shared with candidates ii) what information is gathered from candidates iii) what specific criteria are applied during mobilization or placement to ensure that the candidates will enroll in training, complete the training and not drop out, accept the job and be willing to migrate if required, will stay in the job for more than 3 months or more, will progress in their career to earn better salaries	Operations head, and training center staff have **no clear approach** to identify probability of a candidate achieving any of the milestones.	Operations head and training center staff have their own approaches (which could be similar or different from each other) to achieving 3 or fewer milestones. Note: Default score of 4 for those organizations that have not worked in placement linked programs, if the organization proposes an approach.	Operations head and training center staff have their **own approaches (which could be similar or different from each other)** to achieving 4 or more milestones.	Operations head and training center staff have **similar approaches** to achieving 5 or more milestones.	There is an **organization wide coherent strategy** to gauge if the candidate will achieve the 6 milestones.
SQ13	Based on answers to RQ10, what percentage of candidates interviewed were not **briefed regarding the following at all:** **1. Job description** **2. Expected salary** **3. Migration out of home district**	-	80-100%	50-79%	20-49%	11-19%	0-10%
SQ14	What has been PIAs approach to **provide placement support** to candidates in the past? Additionally: During the appraisal, verify the description of these processes with actual activities that have been conducted for the latest 3 batches (including current batches that are running) by interviewing participants claimed to be involved (employers, candidates etc.)	Description of processes and their frequency to provide placement support.	There is **no mechanism in place** to provide placement support	There is a **designated placement team,** that sources jobs for candidates, and undertakes efforts to source jobs, however, specific efforts for each batch are found lacking. Note: Default score of 4 for those organizations that have not worked in placement linked programs, if the organization proposes an approach.	There is a designated placement team, that sources jobs for candidates, and undertakes efforts to source jobs, however, **specific efforts for each batch are found lacking. However, there are some 'repeat' employers** that have been hiring from the PIA for more than 1 year.	Adequate **efforts are undertaken for each batch** during the training to source jobs, e.g.: job melas, OJTs with potential employers etc.	There is a **credible pipeline of jobs clearly identified for each batch at the time that the batch starts.** PIA has clear approaches to find jobs better suited based on candidates' profile, location, training, and experience.

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	Questions	Documents/Information to be obtained before the appraisal begins.	Scoring Schema				
			1 point	4 points	6 points	8 points	10 points
SQ15	What is PIA applicant's approach towards identifying weak students, tracking them, and investing additional effort to help them learn and perform better? Additionally: During the appraisal, obtain the data of student performance tracked for last 3 batches. Retest 3 randomly selected students on one of the formative assessment tests to check consistency of performance and objectivity of tests conducted previously. Also, confirm with weaker students identified that additional effort was taken to help them. Note any risks you observe in assessments not being objective or assessments being influenced by center staff.	Description of processes for identifying weak students and investing additional efforts to help them perform better. Describe your approach to formative (internal) and summative (external) assessments of students. How frequently do you conduct them, and how? Has regular internal and external assessment of students been institutionalised? Are records maintained for internal/formative assessment? Please describe how you ensure that candidates do not copy and are not influenced by training center staff during aptitude tests, formative assessments, and summative assessments?	There is **no mechanism in place** to identify weaker students, track them and invest additional efforts. (No formative assessments, no tracking on consistent metrics from beginning to end of the training, no identification of initially weaker students, and investing additional effort to help them perform)	There is a **mechanism to undertake formative assessments and support weaker students** but one of the following conditions are fulfilled: 1. Assessments are not consistently conducted as per schedule 2. Assessments are not administered by PIA HQ 3. No improvements in performance of students initially identified as weaker is noticed. 4. Retest results vary by more than 20% from original test results.	Each student's performance is measured at least **every month only in domain skills.** AND clear improvement of initially weaker students is visible.	Each student's performance is measured at least **every fortnight only in domain skills.** AND clear improvement of initially weaker students is visible.	Each student's performance is measured at least every fortnight in **domain skills, English, IT, numeracy and soft skills.** AND clear improvement of initially weaker students is visible.
RQ13	Whether any **activities are carried out that allow candidates to experience success** and that develop candidates' personality and confidence?	Description of competitive activities that PIA organizes to help trainees experience success, and build their self esteem and confidence.	N/A	N/A	N/A	N/A	N/A

Employer Engagement							
SQ16	Have the employers been involved in the development of **training program, course content or teaching learning material** or have given their assent to it in its current form? Note: OJT should be counted towards employers' involvement in development of training program and course content. Additionally: During the appraisal, check if there are any instances where changes in course content have been based on employers' feedback.Cross check with employers	Description of employers that have been involved in development of training program, course content or teaching learning material, or OJTs that have been arranged in the past, and the number of people that these employers have hired in the past 1 year.	No employers are involved.	Employers who have, in aggregate, hired less than 20% of trainees in aggregate in last one year (or plan to hire less than 20% of trainees in next one year) are involved.	Employers who have, in aggregate, hired 20-40% trainees in aggregate in last one year (or plan to hire 20-40% trainees in next one year) are involved.	Employers who have, in aggregate, hired 40-60% trainees in aggregate in last one year (or plan to hire 40-60% trainees in next one year) are involved.	Employers who have, in aggregate, hired more than 60% in last one year (or plan to hire more than 60% trainees in next one year) are involved.

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	Questions	Documents/Information to be obtained before the appraisal begins.	Scoring Schema				
			1 point	4 points	6 points	8 points	10 points
SQ17	What is the system of recording the **feedback of the employers** where trained candidates are placed? Additionally: During the appraisal, obtain supporting evidence (Employer feedback in form of letter, e mail correspondence etc.) Cross check with employers in case of lack of documentation. Check whether i) Metrics on employer satisfaction are tracked for last one year; and whether ii) Ready documentation, aggregation and analysis of all the feedback received is available.	Description of processes for: i) taking employers' feedback on candidates hired and on training centers etc. ii) recording employers' feedback and documenting it for organizational learning. Please also: iii) Describe the metric, if any, used to track performance in respect of satisfaction of employers, and data on the same for last 1 year. iv) Mention which employers have shared positive/negative feedback in past one year, and the number of people these employers have hired in the past 1 year. v) Share instances of changes instituted during last 1 year as a result of employer feedback?	**No feedback** is obtained from employers over the last 1 year.	i) Feedback has been **obtained for some batches from some employers** over the last 1 year. Note: Default score of 4 for those organizations that have not worked in placement linked programs, if the organization proposes an approach.	i) Feedback is obtained for each batch **from employers that in aggregate have employed more than 20% of candidates** placed by the PIA in last 1 year.	i) Feedback is obtained for each batch from employers that in aggregate have employed more than 30% of candidates placed by the PIA in last 1 year.	i) Feedback is obtained for each batch from employers that in aggregate have employed **more than 50% of candidates** placed by the PIA in last 1 year.
SQ18	How is **interaction** between the candidates and employers facilitated? Are any guest lectures, campus visits, site visits for students organized? Additionally: During the appraisal, cross check by verifying whether guest lectures have been included in the session plan or not. Also ask the candidates of current batches if sessions have been conducted or not for their batches. If no current batches are running, obtain information of interaction for last 3 batches, and confirm with employers.	Description of processes for engagement with employers on for facilitating interaction of candidates and employers. Please quote specific examples of events organized and reference them with dates, which batches did the employers meet, and names of employers' representatives.	**No evidence** or confirmation for interaction is found.	**Some interaction** has been organized over the last few months but not for every batch. Note: Default score of 4 for those organizations that have not worked in placement linked programs, if the organization proposes an approach.	**Each batch verified has met at least two employers** through campus visits or site visits.	Each batch verified has met **at least three employers** through campus visits or site visits.	Each batch verified has met at **least four employers** through campus visits or site visits.
RQ14	Which are the **employers that will hire the DDU-GKY candidates**? Are there arrangements in place with those employers for potential recruitment? Additionally: During the appraisal, cross verify arrangements with potential employers. Check if the additional supply that DDU-GKY creates can be absorbed, does it replace another skilling operation, or is there fresh demand. Check if there are adequate potential recruiters for DDU-GKY candidates, so that each candidate will be offered at least two jobs. In case of captive employers, please consider their current and projected revenue and workforce strength to assess if they will be able to absorb the skilled candidates, as proposed. If possible, find out what is the retention duration of rural youth hired by employer in the past	Details of prospective employers of DDU-GKY candidates, if already identified (along with written agreements with prospective employers if the arrangement is documented, and contact details). Skills gap and industry analysis for the proposed trades and geographies. The analysis should make a case for why the PIA applicant wants to conduct training in a given trade and the given state, reason for entry in the state if the PIA applicant has not skilled people in the state before, demand for those skills, current scenario and supply of skills, future growth, economic factors, industry changes, technological shifts, risks etc.	N/A	N/A	N/A	N/A	N/A

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	Questions	Documents/Information to be obtained before the appraisal begins.	Scoring Schema				
			1 point	4 points	6 points	8 points	10 points
Training Infrastructure							
SQ19	How will it be ensured that training equipment, tools and consumables in the training center are adequate in terms of: i) Make and design: Quality and features of the tools, equipment and consumables ii) Quantity: In what quantity at what frequency should these be procured iii) Working condition: What is the proposed process for inspections, maintenance schedule and replacement of tools and equipment? Ranking by SME using the details as proposed for DDU-GKY (This may be a desk verification).	A. List of all training centers of the PIA applicant with following mentioned for each training center: 1. Trades taught 2. Training Capacity 3. How old is the center. 4. Location with GPS coordinates. 5. Whether affiliated to any SSC, and until what date. B. Which of the above training centres will be used for DDU-GKY, or whether new centres are proposed to be opened. C. Details of proposed tools, equipment and consumables for DDU-GKY (including model/make, manufacturer, and equipment features, and quantity proposed for each batch).	Proposed quality and quantity of tools, equipment and consumables is **inadequate and below the NCVT/SSC standards,** wherever these standards are available, and is found inadequate by the SME.	Proposed quality and quantity of tools, equipment and consumables is adequate and **meets NCVT/SSC standards, wherever these standards are available, or meet standards suggested by the SME.**	N/A	Proposed quality and quantity of tools, equipment and consumables is considered adequate by the SME, and **all the training centres proposed for DDU-GKY are affiliated to an SSC for all proposed job roles/NOS based courses or to NCVT** at the time of submission of project application.	Proposed quality and quantity of tools, equipment and consumables is considered adequate by the SME, all the training centres proposed for DDU-GKY are affiliated to an SSC for all proposed job roles/NOS based courses or to NCVT at the time of submission of project application, **and also cater to specific requirements of potential employers.**
RQ15	Are the proposed locations of training centres conducive for training, accessible to candidates using public transport in case of non-residential training?	Proposed locations of training centres, along with GPS coordinates.	N/A	N/A	N/A	N/A	N/A
Training and Material							
SQ20	A. Is there complete batch schedule with daily activity cum lesson planner with clear break up of theory sessions, practical sessions, mock exercises and OJT for courses proposed ? B. Is the curriculum and teaching learning material for all proposed courses is ratified by the respective SSCs/NCVT? C. Is the bilingual training content and TLM available for all proposed courses, including IT, English, Numeracy and Soft skills?	Copies of activity cum lesson planner--if already developed--for trades for which the PIA has applied. Confirmation of whether the curriculum and teaching and learning material is ratified by the respective SSC/NCVT. Confirmation regarding languages in which teaching and learning material is available in for proposed courses, including domain skills, Information Technology, English, Numeracy and Soft Skills.	No questions are answered Yes	One question is answered Yes	N/A	Two questions are answered Yes	All three questions are answered Yes
RQ16	Is there any evaluation of effectiveness of the training that is conducted by PIA HQ or by an independent third party? Is there an internal academic committee, external advisers or employers that vet the TLM? Additionally: During the appraisal, check whether current batches are running as per schedule.	Process of internal vetting of teaching and learning material (TLM).	N/A	N/A	N/A	N/A	N/A
RQ17	SME should also comment on training plan, training curriculum, source of content, past trainers profile.	Copy of teaching learning material proposed to be used for proposed courses.	N/A	N/A	N/A	N/A	N/A

Question Sheet 1: For PIA applicants that have conducted QP-NOS/NSQF compliant courses for at least 1 year.

	Questions	Documents/Information to be obtained before the appraisal begins.	Scoring Schema				
			1 point	4 points	6 points	8 points	10 points
Management of information and knowledge							
RQ18	What is the information system in place **for skilling operations**, and what kind of information is maintained in its ambit? Is there a functional ERP available? Additionally: During the appraisal, check whether i. individual files for candidates, trainers, employers have been maintained or not. ii. files for operational performance and reports submitted to PIA HQ are maintained or not. iii. for all management and reporting throughout the skilling operations, is there an ERP used, or are there independent systems used by various functions, and various locations?	Description of the information system(s) or ERP in place for managing operations and maintaing data across life cycle of the training program.	N/A	N/A	N/A	N/A	N/A

Question Sheet 1: For PIA applicants that have conducted QP-NOS/NSQF compliant courses for at least 1 year.

	Questions	Documents/Information to be obtained before the appraisal begins.	Scoring Schema				
			1 point	4 points	6 points	8 points	10 points
Working Capital and Debt Servicing Capability							
SQ21	What is the net working capital available, to sustain gaps in releases of tranches? Given a tentative prospective project work schedule, please estimate for how long is the net working capital cover available to cover project expenses (after deducting any adjustments to be made for negative cash flow as per the projected cash flow statement), after the funds given in first tranche under DDU-GKY get exhausted and the physical and financial eligibility for second tranche has been met, and before second instalment is released. For the purpose of this calculation, the projected working capital figures can be used. Note: Are there long term debtors, that affect the working capital? In your risk assessment, please calculate the duration for which working capital cover is available, excluding debts owed to PIA applicant that are older than 6 months. During the appraisal, check whether the PIA's free cash flow of last three years lead naturally to PIA's projected cash flow? If not, how does the PIA explain the projected cash flow?	A. Audited financial statements for each of the Company for the last three fiscal years, along with, auditor's opinion and all footnotes (if not already submitted as part of the application), schedule and ageing of debtors and free fund flow statement for last three years. B. The Company's **forecast projections** for the next three years:*i. PIA's free fund flow statement, reflecting quarterly balance of working capital.* *ii. Project cash flow based on a tentative prospective project work schedule (PPWS).*accompanied by a chartered accountant's statement issued in line with the Standard on Assurance Engagements (SAE) 3400 (AAS 35), "The Examination of Prospective Financial Information", issued by the Institute of Chartered Accountants of India. (Available at http://resource.cdn.icai.org/15410Link45_3400SAE-AAS35.pdf)	Available for less than 1 month (1 point) Available for less than 2 months (2 points)	Available for less than 3 months (3 points) Available for less than 4 months (4 points)	Available for less than 5 months (5 points) Available for less than 6 months (6 points)	Available for less than 7 months (7 points) Available for less than 8 months (8 points)	Available for less than 9 months (9 points) Available for more than 9 months (10 points)
Note: The net working capital formula is calculated by subtracting the current liabilities from the current assets. Typical current assets include cash, accounts receivable, inventory, and short-term investments. The current liabilities include accounts payable, overdrafts, accrued expenses, payables to vendors, taxes and statutory liabilities payable, customer deposits, and other trade debt payable to suppliers and vendors.							
SQ22	Debt servicing history, to reduce risk of expropriation of DDU-GKY funds to debt servicing: How well does the PIA applicant service its long and short term debt, including repayment of both, interest and principal amount as per the debt contracts? Please refer to the CCR, and notice any 'assets' classified as Substandard, Doubtful, or Loss. Note: This information should be obtained for all organizations in the consortium. Note: If the credit information is not available from CIBIL for any reasons beyond the control of PIA applicant, their credit information report may be obtained from the bankers that the PIA applicant has taken credits or loans from, as reflected in the latest balance sheets.	C. A Company Credit Report (CCR) or a Commercial Credit Information Report issued by CIBIL within 6 months prior to date of project application. Specimen: https://www.cibil.com/sites/default/files/pdf/underst and-your-cibil-company-credit-report.pdf D. If not already clearly stated in the audited financial statements, a declaration from the PIA applicant's statutory auditors declaring the contingent liabilities not reflected in the audited financial statements, or a statement that there are no contingent liabilities, including guarantees or assurances provided to third parties or an affiliated company, unused encashable leaves of employees, insufficient or non-payment of employee social insurance and taxes, possible litigation risks caused by violation of the laws and regulations.	Of total 'assets', assets classified as Substandard, Doubtful, or Loss is over 10% (1 point) Of total 'assets', assets classified as Substandard, Doubtful, or Loss is over 9% (2 points)	Of total 'assets', assets classified as Substandard, Doubtful, or Loss is over 8% (3 points) Of total 'assets', assets classified as Substandard, Doubtful, or Loss is over 7% (4 points)	Of total 'assets', assets classified as Substandard, Doubtful, or Loss is over 6% (5 points) Of total 'assets', assets classified as Substandard, Doubtful, or Loss is over 5% (6 points)	Of total 'assets', assets classified as Substandard, Doubtful, or Loss is over 4% (7 points) Of total 'assets', assets classified as Substandard, Doubtful, or Loss is over 3% (8 points)	Of total 'assets', assets classified as Substandard, Doubtful, or Loss over 2% (9 points) Of total 'assets', assets classified as Substandard, Doubtful, or Loss is less than 2%. (10 points)

Question Sheet 1: For PIA applicants that have conducted QP-NOS/NSQF compliant courses for at least 1 year.

	Questions	Documents/Information to be obtained before the appraisal begins.	Scoring Schema				
			1 point	4 points	6 points	8 points	10 points
RQ19	The appraisers should check if the PIA applicant is financially unhealthy for last three years. For for-profit corporations, this could be done by looking at whether they are operating an unviable business, which could be reflected by continuous operating losses, negative cash flows, declining net worth, declining DSCR below 1, falling ROE, increasing debt-equity ratio or is in the process of filing for bankruptcy. For non-profit organizations, this could be done by looking at 1) whether their expenditure has exceeded their income, 2) whether the grants, sources of income, or size of operations have been declining, and 3) whether corpus provides sustainability for at least 12 months of the non-profit's operations.		N/A	N/A	N/A	N/A	N/A
Trainers							
SQ23	What is the quality of trainers hired for DDU-GKY? SME in the appraisal team should meet/video chat with trainers to assess their capability to deliver training. For this question, competent trainers would be those that SME finds to be competent to deliver training in the proposed trades, with respect to domain skills and knowledge, as well as skills as a trainer. Refer to Notification No. 15/2016 on Quality Improvement of Training Delivery - Standards for Trainers for reference. http://ddugky.gov.in/ddugky/DocumentsForDownload/Notifications/2016/Notification_No_15-2016.pdf	Qualification criteria laid down for each type of faculty (domain skills, and other skills known by variants such as employability skills, English, numeracy, soft skills etc.). Profiles of current trainers with description of education and experience. If already identified, profiles of DDU-GKY trainers with description of education and experience. If not already identified, sources from which the PIA applicant proposes to hire trainers for DDU-GKY.	**Sources of hiring competent trainers have not been identified.** Some of the current current trainers are found to be not competent to deliver DDU-GKY training, or do not meet the criteria laid down under Notification 15/2016.	Sources of hiring competent trainers have not been identified. However, all **current trainers are found to be competent and meet the criteria laid down under Notification 15/2016.**	**Credible sources of hiring competent trainers** that meet appropriate criteria under Notification 15/2016 have been identified. All current trainers are found to be competent and meet the criteria laid down under Notification 15/2016.	**Competent DDU-GKY trainers that also meet appropriate criteria** under Notification 15/2016 have already been identified.	Competent DDU-GKY trainers that also meet appropriate criteria under Notification 15/2016 have **already been hired.**
SQ24	Is there a standardized internal or an external training-of-trainer program for capacity building and certification of trainers?	Description of processes for training-the-trainers in the PIA, and details of any training programs conducted that the trainers currently with PIA applicant have gone through.	**No TOT programs** have been conducted for any of the domain and other trainers.	N/A	All hired trainers have undergone TOT program **at least once,** but there is no dedicated approach for continuous capacity building of trainers.	N/A	All hired trainers have undergone TOT program at least once, and there is **dedicated approach for continuous capacity building of trainers.**

Question Sheet 1: For PIA applicants that have conducted QP-NOS/NSQF compliant courses for at least 1 year.

	Questions	Documents/Information to be obtained before the appraisal begins.	Scoring Schema				
			1 point	4 points	6 points	8 points	10 points
SQ25	What are the proposed salaries of domain trainers (for technical skills, other than English, IT, soft skills and numeracy) and are they considered appropriate to attract good talent in the market?	Details of salaries paid to current domain trainers and other trainers, and proposed salaries for DDU-GKY trainers.	i. Data not available, or average salary is less than Rs. 8,000 (1 point) ii. Average salary is Rs. 8,000-11,999 (2 points)	iii. Average salary is Rs. Rs. 12,000-14,999 (3 points) iv. Average salary is Rs. 15,000-20,999 (4 points)	v. Average salary is Rs. 21,000-26,999 (5 points) vi. Average salary is Rs. 27,000-32,999 (6 points)	vii. Average salary is Rs. 33,000-39,999 (7 points) viii. Average salary is Rs. 40,000-49,999 (8 points)	ix. Average salary is Rs. 50,000-59,999 (9 points) x. Average salary is above Rs. 60,000 (10 points)
RQ20	How is the appraisal of trainers conducted or proposed to be conducted, and what is the career path for a trainer? Is the career path such that incentivizes her to become a better trainer, for instance, becoming a master trainer, academic supervisor etc.?	How is the appraisal of trainers conducted or proposed to be conducted, and what is the career path for a trainer? Is the career path such that incentivizes her to become a better trainer, for instance, becoming a master trainer, academic supervisor etc.?	N/A	N/A	N/A	N/A	N/A
RQ21	Are the job Descriptions defined for trainers, project manager, training center incharge, mobilization head, placement head, in the PIA applicant and understood by the job holders? Are all the personnel aware of their roles and responsibilities and their understanding of their job is consistent with their Job Description?	Job descriptions of trainers, project managers at PIA HQ, training center incharge, mobilization head, placement head, if documented.	N/A	N/A	N/A	N/A	N/A
RQ22	How will the PIA applicant ensure that it recruits quality trainers for DDU-GKY project? Verify the usability of sources of recruitment mentioned.	Please describe what is the source of recruitment of domain and other trainers. How will the technical knowledge of trainers be assessed?	N/A	N/A	N/A	N/A	N/A

Scorecard 2 - For PIA applicants that have NOT conducted MES/QP-NOS/NSQF compliant courses for at least 1 year.

Parameter	Sub Parameter	Maximum Score	Score as per the appraisal	Normalized Score of the Parameter (Aggregate Score divided by number of questions) and Color
Organization Strength	SQ1: Experience of Investors or Promoters	10		
	SQ2: Experience of Top Management	10		

*Descriptive answers to **AQ1, AQ2, AQ3,** and **RQ1, RQ2, RQ3, AQ4** to be noted in the report.*

Training and Placement track record	SQ3: Internal orientation experience	10		
	SQ4: Internal in-service training experience	10		

*Descriptive answers to **AQ4, AQ5, AQ6, AQ7** and **RQ5** to be noted in the report.*

Sector	SQ5: Growth in operations	10		

*Descriptive answers to **AQ8** to be noted in the report.*

Experience in Proposed	SQ6: Skill Gap Analysis	10		
	SQ7: Quality of Jobs	10		

*Descriptive answers to **AQ9, AQ10, AQ11, AQ12, AQ13, AQ14, AQ15, AQ16** to be noted in the report.*

Training Infrastructure	SQ8: Training tools, equipments and consumables	10		
	SQ9: Teaching Learning Material	10		

*Descriptive answers to **AQ17, AQ18, AQ19** to be noted in the report.*

Financials	SQ10: Working Capital	10		
	SQ11: Debt Servicing Capability	10		

*Descriptive answers to **RQ6** to be noted in the report.*

Field Visits	SQ12: Business Case	10		
	SQ13: Quality of trainers	10		

*Descriptive answers to **AQ20, AQ21, AQ22, AQ23** and **RQ7** to be noted in the report.*

Question Sheet 2: For PIA applicants that have NOT conducted MES/QP-NOS/NSQF compliant courses for at least 1 year.

	Questions	Documents/Information to be obtained before the appraisal begins.	Scoring Schema			
			1 point	4 points	7 points	10 points
Organization Strength						
SQ1	What is experience of investors or promoters with more than 5% equity stake in the organization in having founded or invested in successful companies, and having remained an investor for atleast two years?	Profiles of investors and promoters. Letter from Company Secretary/Chartered Accountant. Board membership document for PIA applicant.	The investors or promoters have **no track record** of having founded or invested in successful organizations.	**One or two investors or promoters** have a track record of having founded or invested in successful organizations, over last 5 years.	**Three to five investors or promoters** have a track record of having founded or invested in successful organizations for more than 5 years.	**Multiple investors or promoters** have a track record of having founded or invested in multiple successful organizations for more than 10 years.
SQ2	What is the work experience of top management team in leading successful organizations in top management positions?	CVs of top management team.	The top management team of the PIA applicant has **no track record** of having led successful organizations.	**One or two members of the top management team** have led a successful organization.	**More than two members of the top management team** have led a successful organization.	**Almost all members of the top management team** of the PIA applicant have led a successful organization.
AQ1	What is the vision/mission of the PIA applicant and goals over the next 3-5 years? Note: Note any references to workforce performance, workforce learning, work culture, communication, ethical behavior, positive experience for candidates and employers, socially and economically disadvantaged groups that DDU-GKY works with (rural poor, women, SC/ST, minorities).	Vision-mission document or statement	N/A	N/A	N/A	N/A
RQ1	Are any of the promoters or directors on RBI's willful defaulters list?	List of promoters and directors and self-declaration that none of the promoters or directors are on RBI's wilful defaulters list	N/A	N/A	N/A	N/A
RQ2	What are the CIBIL Scores of directors and promoters during the last 6 months? Are there any scored lower than 700, which would be an indicator of risk? Note: CIBIL score of NA (Not Available) or NH (No History) indicates that no risks have been identified. As per CIBIL website, 79% of the loans approved are for individuals with a score greater than 750. Where credit history is less than 6 months old, the score is given between 1-5. Here, a score of 3 denotes a medium risk and score of 1-2 denote high risk.	CIBIL scores of directors and promoters.	N/A	N/A	N/A	N/A
AQ2	In case the applicant has any outsourcing/consortium partners for DDU-GKY project, whether there is a clarity on role of the outsourcing/consortium partners?	Description of the role of outsourcing/consortium partners, if any.	N/A	N/A	N/A	N/A

Question Sheet 2: For PIA applicants that have NOT conducted MES/QP-NOS/NSQF compliant courses for at least 1 year.

	Questions	Documents/Information to be obtained before the appraisal begins.	Scoring Schema			
			1 point	4 points	7 points	10 points
AQ3	Is there a clear approach for who will accountable for various KPIs at middle and senior management level in the organization?	Proposed organization chart with names (if available), designations and KPIs that each person will be responsible for, with respect to skilling operations. Refer to the exhaustive list of KPIs below: Exhaustive list: i. Enrollment percentage of each batch, ii. Drop out percentage, iii. Attendance of candidates and trainers, iv. Performance of candidates in formative assessments, v. Status of OJT conducted for each student, vi. Performance of candidates in summative assessments, vii. Conversion rate from candidates trained to candidates taking assessment tests, viii. Salaries of candidates, ix. Placement percentages, x. Candidate retention duration with employers, xi. Proportion of repeat employers of the PIA's candidates, xii. Placement status for up to one year after candidates have finished training, xiii. Adherance to lesson plan and training calendar, xiv. Performance in projects against targets and annual action plan, xv. Candidate satisfaction and dissatisfaction Description of what standards or bands have been defined for each KPI, and if not, what is the approach for defining those standards or bands.	N/A	N/A	N/A	N/A
RQ3	How frequent are the adverse auditor comments in audited financial statements of last three years?	Auditors' Reports and Audited Financial Statements of the PIA for last three years, if not already submitted.	N/A	N/A	N/A	N/A
RQ4	Whether Income Tax Returns, Service Tax Returns, and annual filings with ROC (say, in case of companies), ETDS, VAT, PF, ESI and other applicable returns for the last three years have been timely, and payments of respective dues have been on time?	Statutory payments and returns--Income Tax Returns, Service Tax Returns, and annual filings with ROC (say, in case of companies), ETDS, VAT, PF, ESI and other applicable returns--may be provided for review during the appraisal.	N/A	N/A	N/A	N/A

Note 1: *For non-profits, the founders, benefactors, or organizations that give the PIA applicant grants, may be considered investors or promoters.*
Note 2: *Successful for profit organizations may be considered to include those that have gained market share over the last few years or continue to maintain their market share over a longer period, or those that have consistently made profits over the last few years. While no profits can be high risk cases, at the same time, it will be useful to consider other factors like market share to give opportunities to start-ups that may not have reached their break-even point. Success of non-profits may be measured in terms of increasing impact of their work in terms of number of people, expansion in base of funding sources and amount of funding, expansion in size of operations and geography in which it operates.*

Question Sheet 2: For PIA applicants that have NOT conducted MES/QP-NOS/NSQF compliant courses for at least 1 year.

	Questions	Documents/Information to be obtained before the appraisal begins.	Scoring Schema			
			1 point	4 points	7 points	10 points
Training and Placement track record						
SQ3	What is the PIA applicant's internal orientation experience?	Details of orientation programs conducted for new workers in last 3 years. Details to include target groups for which orientation is conducted, number of people oriented, topics covered in orientation, length of orientation program, objectives of training, sample copies of content used, and profiles of trainers.	The PIA applicant has **no internal orientation experience,** or there is an internal orientation program in place that does not require domain experts or practitioners, or the orientation program is delivered with poor quality material, or no material.	There is an **existing structured and consistently implemented orientation program, with less than 1,000 people** having been trained under it.	There is an **existing structured and consistently implemented orientation program with up to 5,000 people** having been trained under it.	There is an existing structured and consistently implemented orientation program with well develop content that is regularly updated, learning objectives, with **more than 5,000 people trained.**
SQ4	What is the PIA applicant's internal in-service training experience? This could be conducted internally or by hiring external agents.	In-service training details conducted in last 3 years. Details to include course/training name, topics covered, impact on candidate e.g. promotion, placement, certificate issued etc, length of training, objectives of training, sample copies of content used, and profiles of trainers.	The PIA applicant has **no internal training experience,** or there is an internal training or orientation program in place that does not require domain experts or practitioners, or the internal training and orientation program is delivered with poor quality material, or no material.	There is an existing structured and consistently implemented training program, with **up to 1,000 people having been trained** under it.	There is an existing structured and consistently implemented training program, with **up to 5,000 people having been trained** under it.	There is an existing structured and consistently implemented training program with well develop content that is regularly updated, learning objectives, and assessment mechanism, with **more than 5,000 people trained.**

Question Sheet 2: For PIA applicants that have NOT conducted MES/QP-NOS/NSQF compliant courses for at least 1 year.

	Questions	Documents/Information to be obtained before the appraisal begins.	Scoring Schema			
			1 point	4 points	7 points	10 points
RQ5	Based on past employment in the PIA applicant, review: 1. Whether retention rates are high (at least 3 months after joining), especially for migrant rural youth, 2. Whether working conditions across the proposed employment network are good, 3. Whether feedback from people whom they have placed or employed in the past is positive, 4. Whether opportunities for career progression are clearly laid out and accessible. Also review past employment in those organizations in the network where the PIA applicant has proposed to place DDU-GKY candidates. This is to understand how effective employment has been in the past.	Data on existing workforce for those job roles for which skilling is proposed in the proposed employment network, and career progression paths available for skilled candidates that take up those job roles. Aggregate numbers would be sufficient, and actual names of employees are not required at this stage. (Feedback from current employees in the network, retention rates, and working conditions to be understood through field visits.)	N/A	N/A	N/A	N/A
AQ4	Is there a clear approach for what **aptitude test** will be consistently used at the time of counselling of the candidates? Check whether the test is standardized or certified for vocational training or trade.	Description of aptitude test to be used for counselling the candidates, who will it be procured from or developed by, and who will it be administered by.	N/A	N/A	N/A	N/A
AQ5	Is there a clear approach for how the **feedback** of the candidates will be recorded?	Description of how the process of obtaining feedback from the candidates will be administered, by who, and frequency at which feedback will be mandatorily obtained.	N/A	N/A	N/A	N/A
AQ6	Is there a clear approach for **review and analysis of the feedback** received from candidates?	Description of proposed process of recording and analyzing candidate feedback by CEO/COO and Academic Head, and process of grievance redressal, and information about who will review and analyze the feedback received, at what frequency.	N/A	N/A	N/A	N/A
AQ7	Is there a clear approach for a proposed **placement team to contact placed candidates** regularly to identify their pain areas/obtain their feedback, and coordinates provision of requisite support?	Description of proposed process of staying in touch with placed candidates and obtaining their feedback and pain areas, parameters on which feedback will be obtained, schedule and frequency of contact, and approach to providing post placement support and being in touch with candidates to ensure better retention of candidates after placement.	N/A	N/A	N/A	N/A

Question Sheet 2: For PIA applicants that have NOT conducted MES/QP-NOS/NSQF compliant courses for at least 1 year.

	Questions	Documents/Information to be obtained before the appraisal begins.	Scoring Schema			
			1 point	4 points	7 points	10 points
Sector experience						
SQ5	Growth in operations core businesses of the PIA applicant. For this purpose, at least 1 year's data should be available, in absence of which, a default score of 1 should be given. Also comment on what is the PIA applicant's market share in sub-sector of the industry of the PIA applicant. (Examples of sub-sectors: In the security industry, domestic and industrial security could be different sub-sectors. Similarly, in construction industry, commercial construction and residential construction could be different sub-sectors.)	Audited financial statements. 1. Independent studies or reports, reports or data published by industry bodies on market size and its past and future trajectory, competition and other players, with respect to the sub-sector of the industry of the PIA applicant. In absence thereof, independent analyses done by project appraisal agency or another professional firm. 2. Information to be provided by the PIA applicant on its own share of the market.	Turnover or income (or throughput for marketplace platforms) has been **declining for the last 3 financial years.**	Turnover or income (or throughput for marketplace platforms) has been **static or has exapaned at a rate lower than 10% CAGR.**	Turnover or income (or throughput for marketplace platforms) has been **expanding at a rate equal to or higher than 10% CAGR.**	Turnover or income (or throughput for marketplace platforms) has been **expanding at a rate higher than 15% CAGR, and is also projected to grow at a CAGR of 15% or more.**
AQ8	Is there a clear approach for what information will the CEO/COO/Head of Operations (Skilling operations) review vis-a-vis exhaustive list of KPIs? ii) At what frequency will this information be reviewed?	Details of what KPIs do CEO/COO/Head of Operations will review with what frequency from the list given below: i. Enrollment percentage of each batch, ii. Drop out percentage, iii. Attendance of candidates and trainers, iv. Performance of candidates in formative assessments, v. Status of OJT conducted for each student, vi. Performance of candidates in summative assessments, vii. Conversion rate from candidates trained to candidates taking assessment tests, viii. Salaries of candidates, ix. Placement percentages, x. Candidate retention duration with employers, xi. Proportion of repeat employers of the PIA's candidates, xii. Placement status for up to one year after candidates have finished training, xiii. Adherance to lesson plan and training calendar, xiv. Performance in projects against targets and annual action plan, xv. Candidate satisfaction and dissatisfaction	N/A	N/A	N/A	N/A

Question Sheet 2: For PIA applicants that have NOT conducted MES/QP-NOS/NSQF compliant courses for at least 1 year.

	Questions	Documents/Information to be obtained before the appraisal begins.	Scoring Schema			
			1 point	4 points	7 points	10 points
Experience in Proposed State						
SQ6	Skills gap analysis	Skills gap analysis conducted by the PIA applicant.	There is **no credible skills gap analysis** conducted by the PIA that is available.	The **skills gap analysis based on secondary research provides industry or sub-sector analysis** but falls short of gauging skills and labor demand in specific organizations or industrial clusters.	A **robust skills gap analysis based on primary research is available, that uses information of specific industry clusters, industrial belts, or organizations identified** for the current and projected labor demand of specific job roles that the PIA applicant seeks to address.	A robust skills gap analysis based on primary research is available, and **supplemented with a study on projected rise in supply, given the skilling initiatives, PIA applicants potential role therein, and secured strategic partnerships to fill the gaps identified.**
SQ7	Quality of jobs proposed	Skills gap analysis conducted by the PIA applicant.	Average starting salaries proposed for candidates is below Rs. 6000	Average starting salary proposed is between Rs. 6000-Rs.7499	Average starting salary proposed is between Rs. 7500-Rs.14,999	Average starting salary proposed is Rs. 15,000 or more
AQ9	6 Milestones: How will the PIA applicant know that a candidate will: 1. Enroll in the training 2. Complete the training and not drop out 3. Accept a job and be willing to migrate, if required 4. Will stay in the job for more than 3 months 5. Will stay in the job for 12 months 6. Will progress in their chosen career (with salary above Rs. 15,000 within a year)	1. Description of processes to be followed for candidate mobilization and counselling. 2. Please also explain: i) what information will be shared with candidates (job description, expected salary, migration etc.) ii) what information will be gathered from candidates iii) what specific criteria will be applied during mobilization or placement to ensure that the candidates will enroll in training, complete the training and not drop out, accept the job and be willing to migrate if required, will stay in the job for more than 3 months or more, will progress in their career to earn better salaries.	N/A	N/A	N/A	N/A
AQ10	What will be be PIAs approach to **provide placement support** to candidates?	Description of processes/activities and their frequency to provide placement support.	N/A	N/A	N/A	N/A

Question Sheet 2: For PIA applicants that have NOT conducted MES/QP-NOS/NSQF compliant courses for at least 1 year.

	Questions	Documents/Information to be obtained before the appraisal begins.	Scoring Schema			
			1 point	4 points	7 points	10 points
AQ11	What will be PIA applicants approach towards identifying weak students, tracking them, and investing additional effort to help them learn and perform better?	Description of processes for identifying weak students and investing additional efforts to help them learn and perform better. Proposed approach to conducting formative (internal) and summative (external) assessments of students in domain skills, English, IT, numeracy and soft skills. How frequently will formative assessments be conducted, and how? How will the records be maintained?	N/A	N/A	N/A	N/A
AQ12	What **activities are planned that will allow candidates to experience success** and help develop candidates' personality and confidence?	Description of competitive activities that PIA proposed to organize to help trainees experience success, and build their self esteem and confidence.	N/A	N/A	N/A	N/A
AQ13	Is there a clear approach to involve the employers in the development of **training program or course content,** or taking their assent to it in its current form? Note: OJT should be counted towards employers' involvement in development of training program and course content.	Description of employers that are proposed to be involved in development of training program or course content, or OJTs that are proposed.	N/A	N/A	N/A	N/A
AQ14	What is the proposed system of recording the **feedback of the employers** where trained candidates are placed?	Description of proposed processes for: i) taking employers' feedback on candidates hired and on training centers etc. ii) recording employers' feedback and documenting it for organizational learning. Please also: iii) Describe the metric to be used to track performance in respect of satisfaction of employers iv) Mention which employers have shared positive/negative feedback in past one year, and the number of people these employers have hired in the past 1 year. v) Share instances of changes instituted during last 1 year as a result of employer feedback?	N/A	N/A	N/A	N/A
AQ15	How is **interaction** between the candidates and employers proposed to be facilitated?	Description of proposed processes for engagement with employers for facilitating interaction of candidates and employers. Are any guest lectures, campus visits, site visits for students planned to be organized?	N/A	N/A	N/A	N/A

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	Questions	Documents/Information to be obtained before the appraisal begins.	Scoring Schema			
			1 point	4 points	7 points	10 points
AQ16	Which are the **employers that will hire the DDU-GKY candidates**? Are there arrangements in place with those employers for potential recruitment? Cross verify arrangements with potential employers. Check if the additional supply that DDU-GKY creates can be absorbed, does it replace another skilling operation, or is there fresh demand. Check if there are adequate potential recruiters for DDU-GKY candidates, so that each candidate will be offered at least two jobs. In case of captive employers, please consider their current and projected revenue and workforce strength to assess if they will be able to absorb the skilled candidates, as proposed. If possible, find out what is the retention duration of rural youth hired by employer in the past	Details of prospective employers of DDU-GKY candidates, if already identified (along with written agreements with prospective employers if the arrangement is documented, and contact details). Skills gap and industry analysis for the proposed trades and geographies. The analysis should make a case for why the PIA applicant wants to conduct training in a given trade and the given state, reason for entry in the state if the PIA applicant has not skilled people in the state before, demand for those skills, current scenario and supply of skills, future growth, economic factors, industry changes, technological shifts, risks etc.	N/A	N/A	N/A	N/A
Training Infrastructure						
SQ8	How will it be ensured that training equipment, tools and consumables in the training center are adequate in terms of: i) Make and design: Quality and features of the tools, equipment and consumables ii) Quantity: In what quantity at what frequency should these be procured iii) Working condition: What is the proposed process for inspections, maintenance schedule and replacement of tools and equipment? Ranking by SME using the details as proposed for DDU-GKY (This may be a desk verification).	A. List of all training centers of the PIA applicant with following mentioned for each training center: 1. Trades taught 2. Training Capacity 3. How old is the center. 4. Location with GPS coordinates. 5. Whether affiliated to any SSC, and until what date. B. Which of the above training centres will be used for DDU-GKY, or whether new centres are proposed to be opened. C. Details of proposed tools, equipment and consumables for DDU-GKY (including model/make, manufacturer, and equipment features, and quantity proposed for each batch).	Proposed quality and quantity of tools, equipment and consumables is **inadequate and below the NCVT/SSC standards,** wherever these standards are available, and is found inadequate by the SME.	Proposed quality and quantity of tools, equipment and consumables is adequate and **meets NCVT/SSC standards, wherever these standards are available, or meet standards suggested by the SME.**	Proposed quality and quantity of tools, equipment and consumables is considered adequate by the SME, and **all the training centres proposed for DDU-GKY are affiliated to an SSC for all proposed job roles/NOS based courses or to NCVT** at the time of submission of project application.	Proposed quality and quantity of tools, equipment and consumables is considered adequate by the SME, all the training centres proposed for DDU-GKY are affiliated to an SSC for all proposed job roles/NOS based courses or to NCVT at the time of submission of project application, **and also cater to specific requirements of potential employers.**

Question Sheet 2: For PIA applicants that have NOT conducted MES/QP-NOS/NSQF compliant courses for at least 1 year.

	Questions	Documents/Information to be obtained before the appraisal begins.	Scoring Schema			
			1 point	4 points	7 points	10 points
SQ9	A. Is there complete batch schedule with daily activity cum lesson planner with clear break up of theory sessions, practical sessions, mock exercises and OJT for courses proposed ? B. Is the curriculum and teaching learning material for all proposed courses is ratified by the respective SSCs/NCVT? C. Is the bilingual training content and TLM available for all proposed courses, including IT, English, Numeracy and Soft skills?	Copies of activity cum lesson planner--if already developed--for trades for which the PIA has applied. Confirmation of whether the curriculum and teaching and learning material is ratified by the respective SSC/NCVT. Confirmation regarding languages in which teaching and learning material is available in for proposed courses, including domain skills, Information Technology, English, Numeracy and Soft Skills.	No questions are answered Yes	One question is answered Yes	Two questions are answered Yes	All three questions are answered Yes
AQ17	SME should also comment on training plan, training curriculum, and teaching learning material, if available, or proposed source of teaching learning material.	Copy of teaching learning material proposed to be used for proposed courses.	N/A	N/A	N/A	N/A
AQ18	How will effectiveness of the training be evaluated by PIA HQ or by an independent third party?	Description of proposed processes to evaluate (and enhance) the effectiveness of training being given to candidates in training centers.	N/A	N/A	N/A	N/A
AQ19	What is the information system/ERP that is proposed to be put in place **for skilling operations**, and what kind of information is maintained in its ambit?	Description of the information system(s) or ERP in place for managing operations and maintaing data across life cycle of the training program.	N/A	N/A	N/A	N/A

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	Questions	Documents/Information to be obtained before the appraisal begins.	Scoring Schema			
			1 point	4 points	7 points	10 points
Financials						
SQ10	What is the net working capital available, to sustain gaps in releases of tranches? Given a tentative prospective project work schedule, please estimate for how long is the net working capital cover available to cover project expenses (after deducting any adjustments to be made for negative cash flow as per the projected cash flow statement), after the funds given in first tranche under DDU-GKY get exhausted and the physical and financial eligibility for second tranche has been met, and before second instalment is released. For the purpose of this calculation, the projected working capital figures can be used.Note: Are there long term debtors, that affect the working capital? In your risk assessment, please calculate the duration for which working capital cover is available, excluding debts owed to PIA applicant that are older than 6 months.	A. Audited financial statements for each of the Company for the last three fiscal years, along with, auditor's opinion and all footnotes (if not already submitted as part of the application), schedule and ageing of debtors and free fund flow statement for last three years. B. The Company's forecast projections for the next three years:i. PIA's free fund flow statement, reflecting quarterly balance of working capital. ii. Project cash flow based on a tentative prospective project work schedule (PPWS).accompanied by a chartered accountant's statement issued in line with the Standard on Assurance Engagements (SAE) 3400 (AAS 35), "The Examination of Prospective Financial Information", issued by the Institute of Chartered Accountants of India. (Available at http://resource.cdn.icai.org/15410Link45_3400SAE-AAS35.pdf)	Available for less than 3 months (3 points)	Available for less than 6 months (6 points)	Available for less than 9 months (9 points)	Available for more than 9 months (10 points)
SQ11	Debt servicing history, to reduce risk of expropriation of DDU-GKY funds to debt servicing: How well does the PIA applicant service its long and short term debt, including repayment of both, interest and principal amount as per the debt contracts? Please refer to the CCR, and notice any 'assets' classified as Substandard, Doubtful, or Loss. Note: This information should be obtained for all organizations in the consortium. Note: If the credit information is not available from CIBIL for any reasons beyond the control of PIA applicant, their credit information report may be obtained from the bankers that the PIA applicant has taken credits or loans from, as reflected in the latest balance sheets.	C. A Company Credit Report (CCR) or a Commercial Credit Information Report issued by CIBIL within 6 months prior to date of project application. Specimen: https://www.cibil.com/sites/default/files/pdf/understand-your-cibil-company-credit-report.pdf D. If not already clearly stated in the audited financial statements, a declaration from the PIA applicant's statutory auditors declaring the contingent liabilities not reflected in the audited financial statements, or a statement that there are no contingent liabilities, including guarantees or assurances provided to third parties or an affiliated company, unused encashable leaves of employees, insufficient or non-payment of employee social insurance and taxes, possible litigation risks caused by violation of the laws and regulations.	Of total 'assets', assets classified as Substandard, Doubtful, or Loss is over 8% (1 point)	Of total 'assets', assets classified as Substandard, Doubtful, or Loss is 5-8% (4 points)	Of total 'assets', assets classified as Substandard, Doubtful, or Loss is less than 5% (7 points)	Of total 'assets', assets classified as Substandard, Doubtful, or Loss is zero. (10 points)

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	Questions	Documents/Information to be obtained before the appraisal begins.	Scoring Schema			
			1 point	4 points	7 points	10 points
RQ6	The appraisers should check if the PIA applicant is financially unhealthy for last three years. For for-profit corporations, this could be done by looking at whether they are operating an unviable business, which could be reflected by continuous operating losses, negative cash flows, declining net worth, declining DSCR below 1, falling ROE, increasing debt--equity ratio or is in the process of filing for bankruptcy. For non-profit organizations, this could be done by looking at whether their expenditure has exceeded their income, and whether the grants or sources of income, and hence size of operations have been declining.		N/A	N/A	N/A	N/A
Field Visits						
SQ12	Business case for skilling with DDU-GKY to be presented by PIA applicant	A fully developed business case for entering the skilling space, and for partnering with DDU-GKY, covering strategic value, finance, operations, market, competition and industry, current and projected supply of labour.	**No business case** is developed, or the business case for the organization to undertake skilling is weak, is not articulated well, or is not fleshed out in enough detail with respect to strategy, finance, operations, market, competition and industry, current and projected supply of labour.	The PIA applicant **has a business case** for entering skilling that, while covering various aspects of business, is largely credible, but does not back up some of its claims with solid research and data, and makes few assumptions that may be difficult to defend.	The PIA applicant has a business case for entering skilling that is **well developed and articulated, and clearly covers strategy, finance, operations, market, competition and industry, current and projected supply of labour.**	The PIA applicant has a strong business case for entering the skilling space, and this **fits into its longer term strategic vision, and has synergestic value given its existing operations. The value proposition is so high that the organization would undertake skilling even if it didn't have a DDU-GKY project.**

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	Questions	Documents/Information to be obtained before the appraisal begins.	Scoring Schema			
			1 point	4 points	7 points	10 points
SQ13	What is the quality of trainers hired for DDU-GKY? SME in the appraisal team should meet/video chat with trainers to assess their capability to deliver training. For this question, competent trainers would be those that SME finds to be competent to deliver training in the proposed trades, with respect to domain skills and knowledge, as well as skills as a trainer. Refer to Notification No. 15/2016 on Quality Improvement of Training Delivery - Standards for Trainers for reference. http://ddugky.gov.in/ddugky/DocumentsForDownload/Notifications/2016/Notification_No_15-2016.pdf	Qualification criteria laid down for each type of faculty (domain skills, and other skills known by variants such as employability skills, English, numeracy, soft skills etc.). If already identified, profiles of DDU-GKY trainers with description of education and experience. If not already identified, sources from which the PIA applicant proposes to hire trainers for DDU-GKY.	**Sources of hiring competent trainers have not been identified.**	**Credible sources of hiring** competent trainers that meet appropriate criteria under Notification 15/2016 have been identified.	Competent DDU-GKY trainers that also meet appropriate criteria under Notification 15/2016 have **already been identified.**	Competent DDU-GKY trainers that also meet appropriate criteria under Notification 15/2016 have **already been hired.**
AQ20	Is there a proposed standardized internal or an external training-of-trainer program for capacity building and certification of trainers?	Description of proposed processes for training-the-trainers in the PIA, and details of any training programs conducted that the trainers currently with PIA applicant have gone through.	N/A	N/A	N/A	N/A
AQ21	What are the proposed salaries of domain trainers (for technical skills, other than English, IT, soft skills and numeracy) and are they considered appropriate to attract good talent in the market?	Details of proposed salaries to be paid to DDU-GKY trainers.	N/A	N/A	N/A	N/A
AQ22	How will the appraisal of trainers be conducted, and what is the career path for a trainer? Is the career path such that incentivizes her to become a better trainer, for instance, becoming a master trainer, academic supervisor etc.?	How will the appraisal of trainers be conducted, and what is the career path for a trainer? Is the career path such that incentivizes her to become a better trainer, for instance, becoming a master trainer, academic supervisor etc.?	N/A	N/A	N/A	N/A
AQ23	How will the PIA applicant ensure that they recruit quality trainers for DDU-GKY project?	How will the PIA applicant ensure that they recruit quality trainers for DDU-GKY project?	N/A	N/A	N/A	N/A
RQ7	Does the PIA applicant have quality assurance and internal audit mechanisms for its existing operations? Are these processes found to be adequate and effective? Is there a specifically designated position to drive quality assurance and internal audit?	Description of current quality assurance and internal audit processes for existing operations.	N/A	N/A	N/A	N/A