

# Skills Strengthening for Industrial Value Enhancement (STRIVE)

OPERATIONS MANUAL

3<sup>rd</sup> January 2019

By

Directorate General of Training  
Ministry of Skill Development and Entrepreneurship  
Government of India



## Operations Manual Revision History

The following table records information regarding changes made to the Operations Manual over time. To provide information about the controlling and tracking of this artifact, please refer the Record of Changes section of this document.

### Operational Manual Revision History for Version -1

Date	Role	Name
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## Table of Contents

Table of Tables .....	vi
Table of Figures .....	viii
Acronyms.....	ix
Definitions .....	xiii
Purpose of the Operations Manual.....	xix
How to read the Operations Manual .....	xx
Executive Summary.....	xxii
1. BACKGROUND.....	1
1.1. Current System of Vocational Training .....	1
1.1.1. National Roles and Responsibilities .....	1
1.1.2. Central Institutions.....	2
1.2. The Project .....	3
1.2.1. Improved Performance of ITIs .....	4
1.2.2. Increased State Capacities to Support ITIs and Apprenticeship Training ...	5
1.2.3. Improved Teaching and Learning .....	5
1.2.4. Improved and Broadened Apprenticeship Training.....	6
1.2.5. Technical Assistance.....	7
1.2.6. Technical Support .....	8
2. INSTITUTIONAL ARRANGEMENTS .....	9
2.1. Organogram for STRIVE.....	9
2.2. Institutional arrangement at National Level .....	10
2.2.1. National Steering Committee .....	10
2.2.2. National Project Implementation Unit.....	11
2.2.3. Project Steering Committee .....	19
2.2.4. National Level ITI Evaluation Committee .....	20
2.2.5. National Cluster Evaluation Committee .....	21
2.3. Institutional arrangement at State Level.....	21
2.3.1. State Steering Committee .....	21
2.3.2. State Project Implementation Unit .....	22
2.3.3. State Apprenticeship Monitoring Cell.....	27
2.3.4. State Cluster Evaluation Committee .....	30
3. RESULT AREAS OF STRIVE .....	32
3.1. Result Area 1: Improving Performance of ITIs .....	32
3.1.1. Overview of PB Grants for 500 ITIs .....	32

3.1.2.	State-wise Allocation of ITIs and allocated Budget .....	33
3.1.3.	Eligibility criteria for ITIs .....	34
3.1.4.	Selection process of ITIs .....	35
3.1.5.	Institutional Strategic Plan (ISP).....	36
3.1.6.	Key Performance Indicators and Fund allocation .....	41
3.1.7.	Eligible and Ineligible expenditure .....	45
3.1.8.	Institute Management Committee .....	50
3.1.9.	Prescribed Processes and Timelines for ITI selection under Result Area-1	52
3.2.	Result Area 2: Increased capacities of State Governments .....	54
3.2.1.	Performance Based Funding Agreement .....	54
3.2.2.	Eligibility criteria for State/UT.....	54
3.2.3.	Reform activities .....	54
3.2.4.	Allocation of funds .....	55
3.2.5.	Key Performance Indicators .....	56
3.2.6.	Eligible and Ineligible expenditure .....	61
3.2.7.	Timelines for state reform activities under Result Area-2 .....	61
3.3.	Result Area 3: Improved teaching and learning capabilities .....	63
3.3.1.	Overview.....	63
3.3.2.	Budget.....	63
3.3.3.	Implementation support .....	63
3.3.4.	Implementation Plan .....	63
3.3.5.	Key activities.....	65
3.3.6.	Schedule for engaging external agencies.....	72
3.4.	Result Area 4: Improved and broadened apprenticeship training .....	73
3.4.1.	Overview.....	73
3.4.2.	Allocated Budget .....	73
3.4.3.	Eligibility criteria of Industry Clusters (ICs) .....	73
3.4.4.	Shortlisting and Selection process of Industry Clusters (ICs) .....	74
3.4.5.	Guidelines on preparing IAI Proposal.....	76
3.4.6.	Key Performance Indicators (KPIs) for ICs.....	78
3.4.7.	Eligible and Ineligible expenditure .....	79
3.4.8.	Apprenticeship Implementation Cell (AIC).....	80
3.4.9.	Prescribed Processes and Time Lines.....	83
4.	FIDUCIARY SYSTEMS .....	85
4.1.	Financial Management .....	85

4.1.1.	Budgeting .....	85
4.1.2.	Fund Flow and Disbursement .....	85
4.1.3.	Conditions for release of funds .....	87
4.1.4.	Financial & Accounting Systems .....	93
4.1.5.	Financial Reporting .....	94
4.1.6.	Controls & Audit .....	96
4.1.7.	Financial Monitoring .....	99
4.1.8.	Financial Guidelines for SAMC .....	99
4.1.9.	Project Closure and its financial implications .....	100
4.2.	Procurement guidelines under STRIVE Project .....	104
4.2.1.	Procuring Entities and applicable Procurement Methods/Rules .....	104
4.2.2.	Technical Support of INR 188 Crores funded by Government of India under STRIVE project .....	111
4.2.3.	Eligible and Ineligible Procurement Expenditure .....	112
4.2.4.	Delegation of Administrative and Financial Powers by the State Governments to the “Competent Authorities” of Government/Private ITIs and ICs .....	112
4.2.5.	Procurement Plan.....	113
4.2.6.	Disclosure of Procurement Information .....	115
4.2.7.	Procurement Audit by auditors and World Bank .....	115
4.2.8.	Complaint Redressal Mechanism pertaining to Procurement of Goods, Works and Services .....	116
4.2.9.	Standard Terms and Conditions of Bidding Documents .....	117
4.2.10.	Conflict of interest during procurement .....	121
4.3.	Monitoring and Evaluation .....	123
4.3.1.	Monitoring and Evaluation activities .....	123
4.3.2.	Monitoring and Evaluation Framework.....	124
4.3.3.	Monitoring Strategy and Approach.....	126
4.3.4.	Monitoring Plan.....	127
4.3.5.	Evaluation .....	140
4.3.6.	Tracer Studies.....	140
4.3.7.	Other Studies .....	141
4.3.8.	MIS.....	141
4.3.9.	Monitoring Reports.....	142
4.3.10.	Monitoring Risks .....	143
4.3.11.	Monitoring Risks Mitigation Measures.....	144

4.3.12. IVA for Data Verification .....	144
4.4. Environment and Social Systems .....	146
4.4.1. Environmental and Social Nodal Officer -NPIU.....	146
4.4.2. Environmental and Social Nodal Officer - SPIU .....	149
4.4.3. Nodal (Environmental and Social) Person- ITI.....	151
5. GRIEVANCE REDRESSAL .....	155
5.1. Redressal mechanism .....	155
6. TECHNICAL ASSISTANCE AND TECHNICAL SUPPORT.....	157
6.1. SPMC.....	159
6.2. SAMC .....	174
6.3. Internal auditors .....	175
6.4. External auditors .....	182
6.5. Tracer study.....	189
7. FREQUENTLY ASKED QUESTIONS .....	198
8. ANNEXURES .....	204
Annexure 1: Scope of work for PMC .....	204
Annexure 2: Indicative staff for SPIUs and their responsibilities .....	210
Annexure 3: Indicative staff for SAMCs and their responsibilities .....	213
Annexure 4: Illustrative budget breakup for SAMC .....	214
Annexure 5: Role of stakeholders administrating IAI Grant .....	215
Annexure 6: ITIs eligible for selection under STRIVE and allocation of ITIs across states .....	220
Annexure 7: Format for Institute Strategic Plan .....	222
Annexure 8: Evaluation and Selection Grid for ITIs .....	241
Annexure 9: Model Performance-Based Grant Agreement.....	251
Annexure 10: Indicative reform activities for States .....	257
Annexure 11: Categorization of States and fund allocation under Result Area 2 .....	259
Annexure 12: Model Performance-Based Fund Agreement for Result Area 2.....	261
Annexure 13: Template for Career Sustainability Plan.....	270
Annexure 14: Application form for Selection of Industry Clusters .....	271
Annexure 15: Standard Evaluator Sheet –IC Application Form.....	276
Annexure 16: Tripartite Grant Agreement for IAI .....	279
Annexure 17: IAI Proposal.....	288
Annexure 18: Standard Evaluator Sheet –IAI Plan .....	294
Annexure 19: Committees of Industry Clusters (IC) .....	301

Annexure 20A: Format for Quarterly Performance cum Achievement Report - For ITIs	302
Annexure 20B: Format for Quarterly Performance cum Achievement Report - For Result Area 2	303
Annexure 20C: Format for Quarterly Performance cum Achievement Report – For Industry Clusters	304
Annexure 21: Proposed activities in Result Area 3	308
Annexure 22: Format of Asset Register	309
Annexure 23: Imprest Management for Result Area 1 and Result Areas 4	311
Annexure 24: IUFRR Format	312
Annexure 25A: Utilization Certificate (for State Governments only)	315
Annexure 25B: Utilization Certificate (for Autonomous bodies)	316
Annexure 26: Statement in lieu of Balance Sheet at Beneficiary Level	318
Annexure 27: Protocol for Assets Purchased/Developed out of Grant Funds by ITI and ICs	319
Annexure 28: Quarterly Statement of Expenditure (SoE) consolidated at NPIU	322
Annexure 29: Format for Closure Utilization Certificate	325
Annexure 30: Consolidated Procurement Plan of IC for entire project (year-wise)	326
Annexure 31: Financial Powers of Competent Authorities and Procurement Methods to be followed in Respect of Private ITI	328
Annexure 32: Financial Powers of Competent Authorities and Procurement Methods to be followed in respect of Selected Govt. ITI	330
Annexure 33: Procurement of Goods, works including minor civil works and Services (consulting and non-consulting) for IC	332
Annexure 34: Organization of IC, Composition of Goods and Works Procurement Committee for IC and Preparation of Procurement Plan	334
Annexure 35: Baseline Data Formats for Instructors Vacancy- ITIs	336
Annexure 36: Baseline Data Formats for Instructors Vacancy- States	337
Annexure 37: Template for Results Area # 1: Improved Performance of Industrial Training Institutes	338
Annexure 38: Template for Results Area # 2: Increased Capacities of the State Governments to Support Industrial Training Institutes and Apprenticeship Training	340
Annexure 39: Template for Result Areas # 4: Improved and Broadened Apprenticeship Training	341
Annexure 40: Grievance Redressal Form	345

## Table of Tables

Table 1: Result area-wise budget allocation .....	3
Table 2: Composition of Project Steering Committee .....	19
Table 3: Category of States for SPIU.....	23
Table 4: Category-wise Indicative Structure of SPIUs.....	24
Table 5: Category of States/ UT for SAMC & Funding Allocation .....	27
Table 6: Functions of SAMC .....	28
Table 7: Fund Allocation per ITI .....	33
Table 8: Phase wise selection of ITIs .....	34
Table 9: Potential Reform Activities to be outlined in the ISP .....	37
Table 10: Selection Criteria for ITIs .....	40
Table 11: KPI Targets and Fund Allocation for ITIs .....	43
Table 12: Eligible and Ineligible Expenditures for Government ITIs (indicative) .....	45
Table 13: Eligible and Ineligible Expenditures for Private ITIs (indicative) .....	48
Table 14: Processes and Timelines for ITI selection .....	52
Table 15: Distribution of Fund allocation for various reform activities across states.....	55
Table 16: Key Performance Indicators Matrix for Category A states.....	56
Table 17: Key Performance Indicators Matrix for Category B states .....	57
Table 18: Key Performance Indicators Matrix for Category C states .....	58
Table 19: KPI Verification Protocol for States .....	59
Table 20: Timelines for State reform activities.....	61
Table 21: Phase wise activities plan .....	65
Table 22: Additional Activities in Result Area 3 .....	70
Table 23: Schedule for engaging external agencies under Result Area 3 .....	72
Table 24: Budget allocation under Result Area 4 .....	73
Table 25: Phase wise selection of ICs .....	74
Table 26: Key Performance Indicators for IC.....	78
Table 27: Eligible and Ineligible Expenditure under IAI Grant .....	79
Table 28: Role of AIC Partners .....	82
Table 29: Processes and Timelines for IAI grant .....	83
Table 30: Fund Allocation and Fund Utilization Criteria for ITIs.....	89
Table 31: Fund Allocation and Fund Utilization Criteria for States .....	90
Table 32: Fund Allocation and Fund Release Criteria for ICs .....	92
Table 33: Procuring Entities, Likely Procurement Profile and Applicable Procurement Rules under STRIVE .....	106
Table 34: Eligible and Ineligible Procurement Expenditure under STRIVE .....	112
Table 35: Administrative and Financial Powers .....	112
Table 36: Monitoring and Evaluation Framework .....	125
Table 37: Monitoring Strategy .....	126
Table 38: Methodology for Data collection (achievement of DLI) .....	128



Table 39: Methodology for Data collection (achievement of KPI) .....	135
Table 40: Monitoring Reports (All Four result areas).....	143
Table 41: Monitoring Risks and Mitigation Measures .....	144
Table 42: Grievance Redressal.....	155

## Table of Figures

Figure 1: Organogram for STRIVE .....	9
Figure 2 : Structure of NPIU .....	12
Figure 3: Composition of PMC at NPIU level.....	13
Figure 4: Indicative Structure of SPIU (including SAMC) .....	23
Figure 5: Selection Process- Steps for selection of 500 ITIs .....	36
Figure 6: Selection process for ICs .....	74
Figure 7 Fund Flow For STRIVE .....	86
Figure 8: Monitoring and Evaluation Activities .....	123
Figure 9: MIS flowchart.....	142

## Acronyms

AI	Artificial Intelligence
AIC	Apprenticeship Implementation Cell
ASPD	Additional State Project Director
ATS	Apprenticeship Training Scheme
AVTS	Advanced Vocational Training Scheme
AWPB	Annual Work Plan and Budget
B.Tech	Bachelor of Technology
BMO	Business Membership Organization
BTP	Basic Training Provider
CA	Chartered Accountant
CAG	Comptroller and Auditor General
CFI	Centrally Funded Institute
CITS	Craft Instructors Training Scheme
CNC	Computer numerical control
COPA	Computer Operator & Programming Assistant
CPD	Continuous Professional Development
CQS	Consultants' Qualifications Selection
CSR	Corporate Social Responsibility
CSS	Central Sector Scheme
CSTARI	Central Staff Training and Research Institute
CTS	Craftsmen Training Scheme
CVC	Central Vigilance Commission
DA	Dearness Allowance
DDG	Deputy Director General
DGT	Directorate General of Training
DLI	Disbursement Linked Indicator
DLP	Distance Learning Program
DLR	Disbursement Linked Result
DTE	Department of Technical Education
EAP	Externally Aided Plan
EoI	Expression of Interest
ESSA	Environment and Social Systems Assessment
FM	Financial Management
FMR	Financial Monitoring Reports
FY	Financial Year
GC	Governing Committee
GeM	Government e-Marketplace
GFR	General Financial Rules
GoI	Government of India
GWPC	Goods & Works Procurement Committee
HR	Human Resource
IA	Implementing Agency

IAI	Industry Apprenticeship Initiative
IBRD	International Bank for Reconstruction and Development
IC	Industry Cluster
ICAI	Institute of Chartered Accountants of India
ICC	Internal Complaints Committee
ICT	Information and Communication Technology
IDA	International Development Agency
IEC	Information and Communication Technologies
IMC	Institute Management Committee
INR	Indian Rupees
IoT	Internet of Things
IP	Industry Partner
IPF	Investment Project Financing
IRI	Intermediate Result Indicators
ISP	Institute Strategic Plan
IT	Information Technology
ITI	Industrial Training Institute
IUFR	Interim Unaudited Financial Reports
IVA	Independent Verification Agency
JAA	Joint Apprenticeship Advisor
JPC	Joint Project Coordinators
JRM	Joint Review Mission
KPI	Key Performance Indicator
LR	Learning Resources
M&E	Monitoring and Evaluation
M.Tech	Master of Technology
MBO	Member Business Organizations
MIS	Management Information System
MoA	Memorandum of Association
MoM	Minutes of Meeting
MoU	Memorandum of Understanding
MSDE	Ministry of Skill Development and Entrepreneurship
MSME	Micro, small and Medium Enterprise
NAC	National Apprenticeship Coordinator
NAPS	National Apprenticeship Promotion Scheme
NCB	National Competitive Bidding
NCEC	National Cluster Evaluation Committee
NCVT	National Council for Vocational Training
NGO	Non-Governmental Organization
NIMI	National Instructional Media Institute
NLIEC	National Level ITI Evaluation Committee
NPC	National Project Coordinator
NPD	National Project Director
NPIU	National Program Implementation Unit

NSC	National Steering Committee
NSDA	National Skill Development Agency
NSDC	National Skill Development Corporation
NSDM	National Skill Development Mission
NSQF	National Skills Qualifications Framework
NSTI	National Skill Training Institute
NVTS	National Vocational Training System
OBC	Other Backward Class
ODLP	Open and Distance Learning Program
OEM	Original Equipment Manufacturers
OHS	Occupational Health and Safety
OJT	On the Job Training
OM	Operations Manual
PAD	Project Appraisal Document
PB	Performance-Based
PBFA	Performance-Based Funding Agreement
PBG	Performance Based Grant
PBGA	Performance-Based Grant Agreement
PFMS	Public Financial Management System
PforR	Program for Results
PFS	Project Financial Statements
PLC	Programmable Logic Controller
PMC	Project Management Consultants
PMKVY	Pradhan Mantri Kaushal Vikas Yojana
PPP	Public Private Partnership
PSC	Project Steering Committee
RA	Result Area
RCT	Randomized Controlled Trial
RDAT	Regional Directorate of Apprenticeship Training
RFP	Request for Proposal
SAA	State Apprenticeship Advisor
SAMC	State Apprenticeship Monitoring Cell
SC	Scheduled Caste
SCEC	State Cluster Evaluation Committee
SCVT	State Council for Vocational Training
SEC	State Engagement Coordinator
SEO	State Engagement Office
SFS	Self-financed Scheme
SME	Small and Medium Enterprise
SoE	Statement of Expenditure
SPD	State Project Director
SPIU	State Program Implementation Unit
SPMC	State Project Management Consultancy
SPOC	Single Point of Contact

SPSS	Statistical Package for Social Sciences
SSC	State Steering Committee
SSDM	State Skill Development Mission
ST	Scheduled Tribe
STEP	Systematic Tracking of Exchanges in Procurement
STRIVE	Skills Strengthening for Industrial Value Enhancement
STT	Short-Term Trainings
TA	Technical Assistance
TA/DA	Travelling Allowance / Dearness Allowance
TCPC	Training, Counseling and Placement Cell
TL	Teaching and Learning
TNA	Training Need Assessment
ToR	Terms of Reference
ToT	Training of Trainers
TP	Training Partner
TPA	Third Party Aggregator
TS	Technical Support
TVET	Technical and Vocational Education and Training
UC	Utilization certificate
UT	Union Territory
VET	Vocational Education and Training
VTIP	Vocational Training Improvement Project

## Definitions

Terms	Description
Accounting year / year / financial year	The year commencing from 1 <sup>st</sup> of April and ending on 31 <sup>st</sup> of March of succeeding year.
Apprentice	An apprentice is a person who has entered a contract of apprenticeship with the employer for apprenticeship training under the Apprentices Act.
Apprenticeship	Apprenticeship training is a course of training in any industry or establishment. Apprenticeship training consists of basic training and on-the-job-training (OJT)/practical training at workplace
Apprenticeship Implementation Cell (AIC)	AIC is a dedicated technical secretariat (Cell) of Industry Cluster (IC) for the implementation of the project. IC's can hire and recruit staff for the management and formation of the AIC under the funding support of STRIVE. The AIC shall conduct needs assessments and other research within the cluster, liaise with companies about their participation in apprenticeship training, identify and liaise with basic training providers, identify capacity development and training needs of the Industry Apprenticeship Initiative (IAI) participants and partners, and on this basis prepare a detailed IAI plan
Basic Training	Basic training consists of theoretical and practical instructions relating to the trade, which is part of apprenticeship training. Basic training is imparted in an accredited basic training centres, which can be an Industrial Training Institute (ITI), any other accredited Technical and Vocational Education and Training (TVET) institution or a company-based basic training centre. The duration of basic training is usually 1/5th or 1/4th of the overall duration of apprenticeship training but can be more or even less depending on the specific course curriculum. The remaining period of apprenticeship training comprises on-the-job-training component. For students who have undergone formal training in an ITI or completed a course under Pradhan Mantri Kaushal Vikas Yojana (PMKVY) or any other program, this training may be recognised as equivalent to basic training.
Commencement of Apprenticeship Training	The date on which the contract of apprenticeship has been entered between employer and apprentice.
Committed expenditure	Expenditure for which firm purchase orders/work orders have been placed and includes the bills pending for payment.

Consulting service	From the standpoint of procurement includes any subject matter expert (which as distinguished from ‘non- consultancy services’ involves primarily non-physical project-specific, intellectual and procedural processes where outcomes/deliverables would vary from one consultant to another), other than goods or works, except those incidental or consequential to the service, and includes professional, intellectual, training and advisory services or any other service classified or declared as such by a procuring entity but does not include direct engagement of a retired government servant
Craftsmen Training Scheme (CTS)	The Craftsmen Training Scheme (CTS) is skill development scheme coordinated by the Directorate General of Training (DGT) in the Ministry of Skill Development and Entrepreneurship (MSDE). For project purpose, data related to CTS trades will only be for National Council for Vocational Training (NCVT) affiliated trades.
Date for reporting	For all reporting reasons, the date on which tri-partite contract signed between Central Government (through Directorate General of Training (DGT)), State Government (through State Directorate) and IC will be treated as start date for counting the reporting timelines.
Designated Trades	Any trade or occupation as notified by the Government. At present, there are 262 designated trades available for apprenticeship training. List is available on apprenticeship portal. Designated Trades are coordinated by DGT.
Directorate General of Training (DGT)	DGT is a dedicated department under Ministry of Skill Development & Entrepreneurship (MSDE), Government of India (GoI) which will be nodal agency from GoI responsible for the funding, monitoring and administrating project implementation. Under STRIVE project, DGT will act as National Project Implementation Unit (NPIU). DGT anchors implementation of Apprenticeship through the Regional Directorate of Apprenticeship Training (RDAT) & State Apprenticeship Advisor (SAA) machinery in the States as far as Trades notified by the Govt. Is concerned (referred to as “Designated Trades”)
Disbursement Linked Indicator (DLI)	Achievement of DLIs triggers World Bank disbursements to the STRIVE Project. DLIs reflect the critical reform areas the GoI will address to improve access and labour market relevance of long-term training. The STRIVE Project has 6 DLIs.
Disbursement Linked Result (DLR)	Respective milestones under DLI which need to be achieved to trigger financial disbursement



Goods	<p>Includes all articles, material, commodity, livestock, furniture, fixtures, raw material, spares, instruments, machinery, equipment, industrial plant, vehicles, aircraft, ships, medicines, railway rolling stock, assemblies, subassemblies, accessories, a group of machineries comprising of an integrated production process or such other category of goods or intangible products like software, technology transfer, licenses, patents or other intellectual properties purchased or otherwise acquired for the use of Government but excludes books, publications, periodicals, etc. For a library.</p> <p>It also includes works and services which are incidental or consequential to the supply of such goods, such as, transportation, insurance, installation, commissioning, training and maintenance</p>
Government ITI	ITI owned, managed and funded by the Central and State Government
Implementing Agencies	Entities receiving grant and funding from Government of India to implement the STRIVE project
Industry Apprenticeship Initiative (IAI)	An IAI is an initiative supported under STRIVE project that promotes industry-driven, demand-driven quality apprenticeship programs provided by members of an IC. An IAI will be led by the IC keen to participate in the project and can involve industries in all sectors of the economy in the selected cluster. The duration of an IAI for the purposes of this project can last up to three years (supporting the introduction of apprenticeship programs from at least one year up to two years).
Industry Cluster (IC)	IC is defined as a Business Membership Organization (BMO), this may include clusters, industry associations and any industry membership-based organizations however the organization must be formally registered as society/trust/Section 8 company and have the legal capacity to sign contracts on behalf of its members. The IC shall be responsible for submitting the IAI proposal to receive grant funding under the project. Under Apprenticeship Act, industry is referred as “establishment”.
Institute Strategic Plan	Plan prepared and submitted by ITI as per the format enclosed in the manual
Intermediate Results (IR)	Each of the Intermediate Results listed in the third column of the matrix set forth in Annex 2 of Project Appraisal Document of STRIVE prepared by World Bank.
Joint Apprenticeship Advisor (JAA)	Under the new mandate under National Skill Development Corporation (NSDC) to drive the optional trades, Chief Executive Officers (CEOs) of Sector Skill Councils are notified as Joint Apprenticeship Advisors (JAAs) for online registration of contracts between employers and candidates (in case they opt for stipend subsidy under National Apprenticeship Promotion Scheme (NAPS))

Joint Review Mission (JRM)	A joint meeting held with World Bank and all implementing agencies for periodic review of the progress of STRIVE vis-à-vis agreed project indicators.
Key Performance Indicator (KPI)	Indicators on which performance of the implementing agencies (IA) under the Project will be monitored. IAs will receive funds/grants on completion of targets of each such indicator.
Major Civil Works	Any civil work excluding minor civil work defined in ‘Minor Civil Works’
Minor Civil Works	Renovation/ repair/ alterations etc. required for machine/equipment installation or any other similar requirement. However, this amount cannot exceed more than 5% of the total amount allocated to the ITI/IC.
National Apprenticeship Promotion Scheme (NAPS)	Scheme initiative of MSDE with financial incentive to industries engaging in apprenticeship – sharing of 25% of prescribed stipend that industry pays to apprentices and Sharing of basic training cost in respect of apprentices who come directly to apprenticeship training without any formal trade training.
National Competitive Bidding	It is also known, as open tender under which the competitive bidding procedure is normally used for procurement of goods and works
National Project Implementation Unit (NPIU)	National project implementation unit set up by the ministry of skill development and entrepreneurship for facilitating, implementing, coordinating and monitoring strive project activities at the national level
National Skill Development Corporation (NSDC)	NSDC is acting as catalysts for the implementation of apprenticeship training through the Sector Skill Councils & State Skill Development Missions (SSDM) in the States as far as all other trades are concerned in which the Industry/establishment chooses to undertake apprenticeship programmes under the Act (referred to as the “Optional Trades”)
Non-consulting service	These are typically routine repetitive physical or procedural non-intellectual outcomes for which quantum and performance standards can be tangibly identified and consistently applied and are bid and contracted on such basis [e.g., catering services, courier services, etc.]

Optional Trades	Any trade or occupation not included in notified list of or any subject field in engineering or non-engineering or technology or any vocational course as may be determined by the employer lead to a competency work force (i.e. Any trade or occupation not included in notified list of Designated Trades, in the field of manufacturing, services or trade, chosen by the employer under the apprenticeship programme to develop a set of workplace competencies in the Apprentice). There are Pre-Approved: 230 trades (as of now and more to be added). Optional Trades are coordinated by NSDC. Alternatively, an establishment is at liberty to opt for any other course/set of work place competency-based set of qualification packs not included in the list of pre-approved on any subject in the manufacturing/services sector (The NSDC has a basket of 2000 plus pre-approved qualification packs/set of work place competencies across various sectors any of which can also be used by industry as its own course/or to develop its own course. All such courses designed by cluster have to be loaded on the apprenticeship portal and requires basic sanity check from NSDC that standard template has been used.
Package	Clubbing of similar types of equipment under procurement plan
Private ITI	Private managed ITI which are supervised and regulated by the State Government
Procurement Plan	The procurement requirements (in a specified format) that the implementing agency will procure from external suppliers. It is required to be submitted by all implementing agencies under all Results Areas of STRIVE.
Project	STRIVE project which is a Central Sector Scheme – Skills Strengthening for Industrial Value Enhancement.
Project Beneficiaries	Direct project beneficiaries including trainees, trainers, apprentices, industry cluster and CFI staff benefited from the STRIVE project.
Project IC	IC as defined in guideline document and duly selected for support under the STRIVE project
Project ITI	ITI as defined in guideline document and duly selected for support under the STRIVE project
Public financial Management System (PFMS)	A financial management platform for all plan schemes, a database of NPIU, CFIs and State Governments and integration with core banking solution of banks handling plan funds.
Project Website	<a href="http://dget.nic.in/content/">http://dget.nic.in/content/</a>
Sector Skill Council	Sector Skill Council is an employer-led organization that covers a specific industry-there are 39 such Sector Skill Councils as on date, the list is on NSDC website at <a href="https://www.nsdcindia.org/sector-skill-20councils-1">https://www.nsdcindia.org/sector-skill-20councils-1</a>

Shopping	It is a Procurement method based on comparing price quotations obtained from several national suppliers, usually at least three to ensure competitive prices
State Apprenticeship Advisors (SAA)	SAA appointed under Section 26 (1) & (2) of The Apprentices Act, 1961. SAA is the authority in the state for contract registration between apprentices and employers for designated trades. SAA will also lead the State Apprenticeship Monitoring Cell (SAMC)
State Engagement Officer (SEO)	SEOs are the dedicated representatives appointed by NSDC to support the NSDC mission in the state. Some states have State Engagement Coordinators (SECs). SEO/SEC will represent NSDC in the IC application and IAI proposal review committee led by SAMC for the specific state. SEO along with SSDM will coordinate the optional trades in the state.
State Skill Development Mission (SSDM)	SSDM looks after the skilling initiative of the state in coordinated manner with all departments concerned in the state. Different states have different models, typically SSDM coordinates, aggregate efforts of all various skilling initiatives in the states. SSDM will be playing the catalyst role for implementation of NAPS in the state for optional trades. SSDM also participates in the screening committee constituted by SAMC for evaluating applications/proposals submitted by Industry cluster under IAI.
Systematic Tracking of Exchanges in Procurement (STEP)	STEP is an online system to help the World Bank and borrowers plan and track procurement activities under Bank-financed projects. It transforms data into knowledge, speeds up the procurement process, and improves accountability and transparency – driving results for development.
Technical Assistance (TA)	Any kind of assistance provided by the local or international experts specialists / domain experts in the form of expertise, transmission of working knowledge, skills training, consultation, implementation of designated tasks including transfer of technical data. This will be funded fully by World Bank up to INR equivalent of USD 5 million as per Financing Agreement.
Technical Support (TS)	Any kind of assistance provided by the local or international experts specialists / domain experts in the form of expertise, transmission of working knowledge, skills training, consultation, implementation of designated tasks including transfer of technical data. This will be funded fully by GoI.
Works	Any kind of civil or electrical works undertaken by any of the Implementing Agency.

## Purpose of the Operations Manual

This operational manual (OM) for STRIVE project has been prepared as a guidance document for various stakeholders including implementing agencies in order to define the standard procedure to be followed for implementation of the STRIVE project, which extends till November, 2022. The objective is for implementing agencies to become familiar with the principle, concept, project design which is based on Program for Result (PforR) financing of The World Bank and procedures to be followed during the project execution. This document would help contextualize the requirement of achieving the disbursement linked indicators (DLI) and Key Performance Indicator (KPI) by various implementing agencies.

The operational manual (OM) defines the institutional arrangement to be followed at the Central and state level with detailed roles and responsibility of various implementing agencies of the project. The OM further details the four result area of the project along with details on eligibility criteria for selection, shortlisting criteria, and fund allocation across ITIs, State implementing agencies and Industrial Clusters (ICs). The OM also includes various fiduciary responsibility like financial management, procurement and monitoring and evaluation activities to be carried and monitored by various implementing agencies. Hence OM should ensure effective and time bound implementation to achieve agreed results.

This OM is a ‘live document’ and might / will undergo changes during the course of the project based on requirements arising from time to time. Such changes would be recommended by National Project Implementing Unit (NPIU) for approval from National Steering Committee (NSC) before incorporating it in the OM.

While OM is a comprehensive guidance document, the following are not covered:

- Details on specific, task-level, activities under the direct control of the implementing agencies
- Roles beyond the STRIVE project
- Compendium of decision taken by any implementing agencies

## How to read the Operations Manual

The operational manual (OM) of the STRIVE project is a guidance document for ensuring smooth and effective implementation of the project. The OM needs to be referred and read by various project implementation agencies. The operational manual has various sections which are as detailed below:

- Section 1 gives an Overview of the current System of Vocational Training in India and a brief on the World Bank supported STRIVE project
- Section 2 provides the institutional arrangement for implementing STRIVE. It gives the Organogram of STRIVE – both at a central and state level. It also details the institutional arrangements and details the roles and responsibilities of various stakeholders associated with STRIVE.
- Section 3 gets into the details of various result areas of STRIVE as listed below:
  - Result Area 1: Improving Performance of ITIs
  - Result Area 2: Increased capacities of State Governments
  - Result Area 3: Improved teaching and learning capabilities
  - Result Area 4: Improved and broadened apprenticeship training

The four result areas (RA) are explained in detail to understand the underlying objective of the RA, activities to be undertaken to achieve the objective in each RA, metrics for measurement of success in each of these areas, etc. This section is important for the stakeholders to understand the Performance for Results (PforR) framework while executing their assigned tasks.

- Section 4 deals with the Fiduciary Systems – which includes
  - Financial Management
  - Procurement Guidelines
  - Monitoring and Evaluation
- Section 5 has details of Grievance Redressal procedures – which is very critical in governance of the project and ensuring success at each step.
- Section 6 is about the Technical Assistance (TA) for the project and various components mandated as a part of the TA.
- Section 7 includes some frequently asked questions (FAQs) – which will serve as a quick and first reference to those who are looking for specific areas.
- Section 8 contains all the Annexures that are reference in the main document.

All implementing agencies should preferably read the entire manual along with annexures in order to understand the complete project, institutional arrangement, fiduciary system and results envisaged to be achieved. Nonetheless, in order to contextualize we have tried to map the relevant sections across the concerned implementing agency as a quick reference:

- NPIU – All sections as they are responsible for implementing the STRIVE project and all the result areas
- SPIU – All sections except section 3.3
- SAMC – All sections except section 3.1, 3.2 and 3.3
- ITI – All section except section 3.2, 3.3, 3.4 and 6.4
- IC – All section except section 3.1, 3.2 and 3.3
- CFI – All section except 3.1, 3.2 and 3.4

All sections should be read as they appear in the manual in order to ensure the requisite flow and consistency to the reader.

## Executive Summary

As Indian economy grows, there is an urgent need to produce skilled manpower of international standard to meet industry's rising demand. It has also been observed that the Vocational Education and Training (VET) system is not geared up to cater to the current needs of the labor market. This is evident from the fact that the Industrial Training Institutes (ITIs) can not place even 50 percent of their students. It has been highlighted in various studies that these training institutions need to be given incentives to improve their performance. Industry's limited involvement in the management of vocational training is also seen as a major constraint in bridging the gap between demand and supply.

The Government of India recognizes the need to increase access to and improve the quality and relevance of vocational education and training in the country. An exclusive ministry was formed for Skill Development & Entrepreneurship (MSDE). Government of India has announced several schemes and projects for enhancing the skill development institutions both at the Center and State levels. Skills Strengthening for Industrial Value Enhancement (STRIVE) is one such pioneering initiative, assisted by The World Bank, with the objective of improving the relevance and efficiency of skills training provided through ITIs and apprenticeships.

STRIVE is a five year project that extends till November, 2022 and shall incentivize ITIs to improve overall performance including apprenticeship by involving SMEs, business association and industry clusters. The project will be implemented by the Ministry of Skill Development & Entrepreneurship (MSDE) through State Governments, Industrial Training Institutes (ITIs), Centrally Funded Institutes (CFIs) and Industry Clusters (ICs) as the implementing agencies. It also supports two sub-missions of the National Skill Development Mission (NSDM), namely: (i) institutional training, and (ii) trainers.

Implementation of the STRIVE follows the Program for Result (PforR) instrument of The World Bank. Fund disbursement from The World Bank to the Government of India (GoI) will be based on achievement of agreed results, known as Disbursement Linked Indicators (DLIs). Each DLI has multiple Disbursement Linked Results (DLRs) with financing amount linked to each DLR. Upon achievement of each DLR, the respective amount of funds will be disbursed by The World Bank to the Government of India.

Similarly, a set of indicators (known as Key Performance Indicators or KPIs) as well as subsequent milestone for each KPI are agreed between the MSDE and the implementing agencies (i.e. States/ UT, ITIs and ICs). Each of these milestones has a financing amount linked to it. Once the implementing agencies achieve the milestone, they will be eligible to claim for release of the amount of funds associated with these KPI milestone. All fund will be released from MSDE to the State Governments via use of PFMS to ensure accountability of utilizing public money. A dedicated public sector banking entity will be empanelled for real-time financial monitoring of funds released to various implementing agencies.

The project has an overall outlay of INR 2,200 crores across four result areas to achieve the envisaged outcomes such as increased percentage of ITI graduates, reduction in trainer vacancy, improved employment outcomes, development and roll-out of 4 CTS and CITS trades on emerging areas, increased participation of female trainees and to



initiate systemic reforms such as online examination, centralized admission process and others.

The result-area wise breakup of project funds is summarized below:

S. No.	Result Area	Tentative Cost (INR in crores)
1	Improved Performance of ITIs	1000
2	Increased Capacities of State Governments to support ITIs and Apprenticeship Training	330
3	Improved Teaching and Learning	435
4	Improved and Broadened Apprenticeship Training	212
	Technical Assistance	35
	Technical Support	188
	Total	2200

The project emphasizes special focus on strengthening industry linkages in ITIs and apprenticeship ecosystem across India. STRIVE encourages participation from trainees of disadvantage groups and ST population. The project will also cover private ITIs and Industry Clusters. A result-area wise brief of the project is described in subsequent paragraphs.

### **Result Area 1: Improved Performance of ITIs**

A total of 500 ITIs will be covered under the project (which include 400 government and 100 private ITIs). The 400 government ITIs are allocated across the states/UTs by taking into account the number of government ITIs in each state/UT. The government ITIs will be selected competitively at State level. However, there is no fixed state-wise allocation for 100 Private ITIs. Private ITIs will be selected basis competition among the Private ITIs across the country (i.e. National level).

Grading will be one of the basic parameters for shortlisting of ITIs. Shortlisted ITIs will be invited to submit detailed Institutional Strategic Plans (ISPs) and final selection will be on the basis of evaluation of ISPs.

An average allocation of INR 2 crore will be available per ITI. The project funds will be provided to the Institute Management Committees (IMCs) constituted by ITIs. The IMC will be set up as a 'society' registered under relevant Societies Registration Act. Additionally, governing body of private ITIs managed/driven by industry will also be accepted as equivalent body to IMC if it is registered either as a Society/Trust or as a Section 8 Company as per Companies Act 2013.

Each ITI will have Key Performance Indicators (KPIs) which will be concurrently monitored for further disbursement of funds. The KPI for the captioned result area are:

- i. Percentage increase in number of graduates at the respective ITI
- ii. Increase in female enrolment rate across trades being conducted at the respective ITI
- iii. Percentage increase in total enrolments at the respective ITI

- iv. Increase in percentage of total trainees at the respective ITI who have undergone On the Job Training (OJT) as per the prescribed curriculum

## **Result Area 2: Increased State Capacities to Support ITIs and Apprenticeship Training**

The state governments will be incentivized for policy and regulatory reforms that are aimed at improving the overall ecosystem for ITIs and apprenticeship. Funding will be released to states/ UTs for achievement of annual targets for three Key Performance Indicators (KPIs):

- i. Conducting tracer studies
- ii. Reducing vacancy of ITI trainers
- iii. Development of Career progression policy for ITI trainers (based on guidelines to be issued by the MSDE)

Fund allocation to the states/UTs will be in proportion to number of government ITIs in the State/ Union Territory (UT). The incentives received by the states on achievement of KPIs will be utilized for activities related to skill development.

## **Result Area 3: Improved Teaching and Learning**

This component covers activities that will complement the institutional reforms in vocational training under DGT. The key activities to be taken up in the component include but not limited to:

- i. Improved curricula, teaching and learning materials: Capacity Building Programme, introduction of Continuous Professional Development (CPD)
- ii. Setting up of infrastructure for distance learning program
- iii. Upgradation of CTS and CITS trades and roll them out
- iv. Upgradation of CFIs for Instructor Courses and Advanced Skills
- v. Reforms including examination reform
- vi. Implementation of communication strategy
- vii. Soft Loan to Private ITI

## **Result Area 4: Improved and Broadened Apprenticeship Training**

A total of 100 ICs will be covered pan India. ICs will be shortlisted by States and selected at the national level on the basis of proposals submitted by ICs. This being a new initiative of engaging with private ICs there will be a pilot across 10 ICs in order to understand the challenges and fine tune the project guidelines accordingly.

A maximum allocation of INR 1 crore will be available per Industry Cluster (IC) for a project duration of 3 years. However, exact quantum of funds allocated to individual ICs will depend on the IAI plan submitted by the IC and achievement of the KPI specified below. Funds may be utilized towards activities including, but not limited to: cost of establishing and running an apprenticeship cell in the cluster, development of curricula, hiring of trainers, training of trainers, awareness raising, etc.

KPIs for this component include:

- i. Signing of apprenticeship contracts between employer/Industry and apprentices as stated in IAI plan
- ii. Capacity development of staff of participating enterprises and other stakeholders
- iii. Submission of project completion report

Additionally, at the State level this component will also focus on:

- i. Research and awareness creation to examine the interest of employers in apprenticeship and benefits derived from apprenticeship.
- ii. Capacity Development of state/central government officers and industry to create awareness of apprenticeship training programs, policies and benefits.

The project cost also covers provision of technical assistance and technical support with overall aim of augmenting capabilities of implementing agencies towards implementation of the project and carrying out project defined studies. Technical Assistance will be financed in full by World Bank funds, up to INR equivalent of USD 5 million. The funds will be utilized for hiring of Project Management Consultancy Services to support NPIU in implementation, hiring of Independent Verification Agency to verify the DLRs achieved as reported by NPIU, hiring of agency for conducting Gender Study, Conducting tracer study by NPIU in Year 5 and other activities. Technical Support will be financed in full by Government of India, up to INR 188 crores, to complement the TA at national and state level.

Operation Manual (OM) encapsulates guidance to all the implementation agencies involved in the implementation of the project. The document will serve as a ready reckoner for all project related purposes. The OM provides details on selection process of ITIs and ICs, institutional arrangements and fiduciary systems to be established at all levels and draft templates of agreements to be signed with implementation agencies.

Success of the project will be dependent on effective implementation of the project at all levels. As the private implementing agencies will be part of the project, enhanced risk-mitigation procedures are put in place. The result outcomes will directly/indirectly benefit all stakeholders of vocational education ecosystem. The project outcomes will serve as a key input in future policy making towards complete overhaul of the vocational education system.

## 1. BACKGROUND

India is the fastest growing major economy in the world. It is also blessed with a demographic dividend where 50% of the population is less than 25 years old and 65% of the population is less than 35 years old. As Indian economy grows, there is an urgent need to produce skilled manpower of international standard to meet industry's rising demand. At the same time, the growing young population needs to be provided with right skills for their livelihood. These contexts make the vocational education and skill development systems crucial for economic growth and human resource development.

Skills Strengthening for Industrial Value Enhancement (STRIVE) is a far-reaching initiative in this direction with the objective of improving the relevance and efficiency of skills training provided through ITIs and apprenticeships. This initiative, which is currently underway, is supported by World Bank and is expected to be completed by November 2022. This document elaborates on the operating guidelines for various stakeholders involved in STRIVE project. This will serve as the operations manual (OM) and will be updated from time to time based on requirements. The following sections will further elaborate on the agencies involved and their responsibilities with respect to implementing STRIVE

### 1.1. Current System of Vocational Training

The Vocational Education and Training (VET) system in India, as observed in multiple studies by Global and Indian analysts, is not geared up to cater to the current needs of the labor market. This is evident from the fact that the Industrial Training Institutes (ITIs) can not place even 50 percent of their students. These studies also indicate that these training institutions need to be given incentives to improve their performance. Another important observation has been the Industry's limited involvement in the management of vocational training which is seen as a major constraint in bridging the gap between demand and supply.

The Government of India recognizes the above issues and has embarked on various initiatives to increase access and improve the quality and relevance of vocational education and training in the country. An important development was the formation of an exclusive ministry for Skill Development & Entrepreneurship (MSDE) in November 2014. The National Skill Development Mission (NSDM) was launched in July 2015 to create convergence across sectors and States in vocational education and skill training activities. A key institution under MSDE is the Directorate General of Training (DGT). DGT includes a network of Industrial Training Institutes (ITIs) in States, Advanced Training institutes (ATIs), Regional Vocational Training Institutes (RVTIs) and other central institutes. DGT is also the nodal body for implementing the amended Apprenticeship Act of 1961.

#### 1.1.1. National Roles and Responsibilities

The Directorate General of Training (DGT) under Ministry of Skill Development And Entrepreneurship is the apex organization for development and coordination at National level for the programs relating to long term vocational training. Under the DGT system, Craftsmen Training Scheme (CTS) and Apprenticeship Training Scheme (ATS) are two of the most important schemes. The CTS provides structured institutional training in an Industrial

Training Institute (ITI) while the ATS is a combination of institutional and on-the-job training in which the trainees are exposed to industrial environment. The schemes are interlinked and dovetailed to achieve more effective results.

DGT affiliated institutions offer a wide range of training courses catering to the needs of different segments in the labor market for students passing 8<sup>th</sup> or 10<sup>th</sup> standard, ITI pass outs, ITI instructors, industrial workers, technicians, junior and middle level executives, supervisors/foremen, women, physically disabled persons, Scheduled Caste (SC)/ Scheduled Tribe (ST), ex-servicemen, retrenched workers, etc. It also conducts training-oriented research & development of instructional media packages for the use of trainees and instructors, etc.

Two tripartite bodies—the Central Apprenticeship Council (a statutory body) and the National Council for Vocational Training (a non-statutory body) - advise the Government of India (GoI) on formulating policies and procedures, and prescribing standards and norms for vocational training schemes. Both bodies have representatives from the Central and State governments, employers organizations, workers organizations and vocational training experts. Correspondingly, State Councils advise the State governments in respect of vocational training at the State level.

### 1.1.2. Central Institutions

The institutions managed centrally under Ministry of Skill Development and Entrepreneurship (MSDE) /DGT and their broad areas of work in the ecosystem of ITI education are as below:

**National Instructional Media Institute (NIMI)** is entrusted with development of instructional material (books, instructional media packages, etc.) and tech enabled teaching and learning modules for training of trainees and trainers to improving the standard of training imparted in (i) Industrial Training Institutes (ITIs) and (ii) Institutes for Training of trainers and other units of vocational training system.

**Regional Directorates of Apprenticeship Training (RDATs)** are mandated to implement apprenticeship training scheme across the states mapped to them as laid down by the Central Apprenticeship Council. There are six RDATs (in Mumbai, Kanpur, Kolkata, Hyderabad, Faridabad and Chennai) currently working with industry to impart practical training with a view to meet the requirements of skilled manpower for industry.

**National Skill Training Institutes (NSTIs)** impart training mainly under “Craft Instructor Training Scheme (CITS)” for instructors from Industrial Training Institutes (ITIs). They also operationalize “Advanced Vocational Training Scheme (AVTS)” under which training is imparted to upgrade the skills of industrial staff/worker and unemployed technical graduates. These institutes cater to different segments including providing vocational skill training to women, training to the junior and senior management personnel of the Training Departments of Industrial Establishments, Industrial training Institutes and NSTIs offering

short-term and long-term scheduled and custom made programs to meet the specific requirements of their client industries / institutions / organizations / departments. NSTIs also offer CTS and CITS courses in emerging areas.

**Central Staff Training & Research Institute (CSTARI)** is the central institute to assess training needs, diversify training programs, design and develop training contents and improve the quality and standard of National Vocational Training System (NVTS) on a continuous basis. Major activities undertaken by CSTARI are conducting research studies in skill ecosystem to assess skill needs and skill gaps, developing curricula for new and upgraded trades, training of training executives and similar activities.

## 1.2. The Project

Skills Strengthening for Industrial Value Enhancement (STRIVE) project is a World Bank assisted -Government of India project with the objective of improving the relevance and efficiency of skills training provided through ITIs and apprenticeships.

STRIVE is a five year project, implemented by the Ministry of Skill Development & Entrepreneurship (MSDE) through State Governments, Industrial Training Institutes (ITIs), Centrally Funded Institutes (CFIs) and Industry Clusters (ICs). The closing date of STRIVE is November 2022.

STRIVE is a Central Sector Scheme (CSS) with no state contribution and a budget outlay of INR 2200. The Project has following result areas:

**Table 1: Result area-wise budget allocation**

S. No.	Result area	Tentative Cost (INR in crores)
1	Improved Performance of ITIs	1000
2	Increased Capacities of State Governments to support ITIs and Apprenticeship Training	330
3	Improved Teaching and Learning	435
4	Improved and Broadened Apprenticeship Training	212
	Technical Assistance (TA)	35
	Technical support (TS)	188
	<b>Total</b>	<b>2200</b>

Implementation of the STRIVE project follows the Program for Result (PforR) instrument. Fund disbursement from the World Bank to the Government of India (GoI) will be based on achievement of agreed results, known as Disbursement Linked Indicators (DLIs). Each DLI has multiple Disbursement Linked Results (DLRs) with financing amount linked

to each DLR. Upon achievement of each DLR, the respective amount of funds will be disbursed by The World Bank to the Government of India.

Similarly, a set of indicators (known as Key Performance Indicators or KPIs) as well as milestone for each KPI are agreed between the Ministry of Skill Development and Entrepreneurship (MSDE) and implementing agencies (i.e. States, ITIs and ICs). Each of these milestones has a financing amount linked to it. Once implementing agencies achieve the milestone, they will be eligible to claim for release of the amount of funds associated to the KPI milestone.

Result area wise details of the project are provided below:

#### 1.2.1. Improved Performance of ITIs

The result area will address key challenges of ITIs by supporting them in improving quality of their skill development programs, enhancing labor market relevance and efficiency of operations, deepening industry relations, industrial exposure and joint needs assessments, introduction of new trades (CTS trades and other National Skills Qualifications Framework (NSQF) compliant short-term courses) to respond to local market needs. This result area will focus on upgrading training equipment and adding new NCVT trades in the ITIs.

A total of 500 ITIs will be competitively selected under the project (which include 400 government and 100 private ITIs). The 400 government ITIs are allocated across the states/UTs by taking into account the number of government ITIs in each State/UT vis a vis the total number of government ITI in the country. 100 Private ITIs will be selected on the basis of competition among the eligible Private ITIs across the country (i.e. National level) as detailed in section 3.1.4.

Grading will be one of the basic parameters for shortlisting the ITIs. Shortlisted ITIs will be invited to submit detailed Institutional Strategic Plans (ISPs) and final selection will be on the basis of evaluation of ISPs.

An average allocation of INR 2 crore will be available per ITI. This allocation per ITI would depend on the number of trainees across each ITI and the submitted Institute Strategic Plan (ISP). The project funds will be provided to the Institute Management Committees (IMCs) constituted by ITIs. The IMC will be set up as a 'society' registered under relevant Societies Registration Act. Additionally, governing body of private ITIs managed/driven by industry will also be accepted as equivalent body to IMC if it is registered either as a Society/Trust or as a Section 8 Company as per Companies Act 2013.

Performance of each ITI will be monitored on the basis of the following Key Performance Indicators (KPIs):

- i. Percentage increase in number of graduates at the respective ITI
- ii. Increase in female enrolment rate across trades being conducted at the respective ITI

- iii. Percentage increase in total enrolments at the respective ITI
- iv. Increase in percentage of total trainees at the respective ITI who have undergone On the Job Training (OJT) as per the prescribed curriculum

#### 1.2.2. Increased State Capacities to Support ITIs and Apprenticeship Training

Under this result area, state governments will be incentivized for policy and regulatory reforms that are aimed at improving the overall ecosystem for ITIs and apprenticeship. Funding will be released to states/ UTs for achievement of annual targets for three Key Performance Indicators (KPIs):

- i. Conducting tracer studies
- ii. Reducing vacancy of ITI trainers
- iii. Development of career progression policy for ITI trainers (based on guidelines to be issued by the MSDE)

Fund allocation to the states/UTs will be in proportion to number of government ITIs in the State/ Union Territory (UT). The incentives received by the states on achievement of KPIs will be utilized for other additional activities related to skill development except for ineligible expenses as depicted in Section 3.2.4

States may also hire project management consultants (PMC) to augment capabilities of State Project Implementation Unit (SPIU) through funds received under this result area.

#### 1.2.3. Improved Teaching and Learning

This result area covers activities that would complement the institutional reforms in vocational training under DGT. The key activities to be taken up in the result area include but not limited to:

- i. **Upgradation and roll out of CTS and CITS trades:** NIMI and CSTARI will undertake upgradation of at least 4 CTS and CITS trades. This will include development of new technology-based teaching and learning resource packages based on a curriculum revision and content development. Additionally, for CITS trades, this will also include offering trades in blended mode to trainers i.e. combination of distance learning and face to face learning. Also, pilot run of CTS and CITS trades will be conducted across 10 ITIs and 2 NSTIs respectively.
- ii. **Improved curricula, teaching and learning materials:** Establishment of a system for need based market driven NSQF compliant curriculum development and revamping of course curricula and designing of instructional material accordingly.
- iii. **Capacity Building Programme, introduction of Continuous Professional Development (CPD)** - technology based teaching and learning material for CITS program and training of trainers including NSQF compliance training program for aligning them into outcome based learning and assessment. Capacity building of field institutions, officers from State and Centre for strengthening vocational training



system

- iv. **Setting up of infrastructure for distance learning program:** Upgradation of terrestrial Distance Learning Program (DLP) to an updated technology.
- v. **Upgradation of CFIs for Instructor Courses and Advanced Skills:** The central institutes are an important resource for training of ITI instructors and for providing advanced technical training in the skills development ecosystem. The advanced technical training by central institutes maintain labour market link of the institutes and these are well located with sufficient land, equipment and trained faculty. As India is aiming at globally competitive technologies in engineering, this result area would support central training institutes to develop into multi-purpose world class resource centres in selected occupational areas.
- vi. **Reforms including examination reforms:** This activity will focus on undertaking reform including examination reforms viz. timely declaration of results, outcome-based assessment, fairness and transparency in the examination procedure, question bank development, translation of question banks in regional languages, transparency in appointment of examiners, streamlining process of uploading marks, etc..
- vii. **Implementation of communication strategy:** A communication and branding campaigns will be developed in order to support the effort of the Government in "building aspirations" for prospective and existing vocational trainees and also for employers. The key objectives of the communication strategy will be to create public awareness about the role and utility of vocational training, encourage private sector's participation, build public image of vocational training as an effective tool of enhancing livelihoods and promote synergies among different stakeholders.
- viii. **Soft Loan to Private ITI:** Provision of soft loan to private ITIs with the aim to encourage private ITI investment in new and emerging trades which require a high up-front investment and are not sufficiently represented in the country. Through soft loan, Private ITIs will be supported in establishing high industry demand courses which require high investment in machinery and equipment. These areas include: CNC, mechatronics, Programmable Logic Controllers (PLCs), Robotics, Internet of Things (IoT) based courses, Artificial Intelligence (AI), etc. and up gradation of existing equipment and infrastructure.

#### 1.2.4. Improved and Broadened Apprenticeship Training

This result area focuses on encouraging Small and Medium Enterprises (SMEs), to engage in Apprenticeship Training through the Industry Apprenticeship initiative (IAI) grant. The IAI grant incentivizes Industry Clusters (ICs)/ Industry Associations to promote apprenticeship within its Member Business Organizations (MBOs).

A total of 100 ICs would be covered pan India, ICs will be shortlisted by States and selected at the national level on the basis of proposals submitted by ICs. This being a new

initiative of engaging with private ICs there would be a pilot across 10 ICs in order to understand the challenges and fine tune the project guidelines accordingly.

A maximum allocation of INR 1 crore will be available per Industry Cluster (IC) for a project duration of 3 years. However, exact quantum of funds allocated to individual ICs will depend on the IAI plan submitted by the IC and achievement of the KPI specified below. Funds may be utilized towards activities including, but not limited to: cost of establishing and running an apprenticeship cell in the cluster, development of curricula, hiring of trainers, training of trainers, awareness raising, etc.

In alignment with the PforR instrument, allocation will be released to ICs on the achievement of pre-defined targets based on KPIs

KPIs for this result area include:

- i. Signing of apprenticeship contracts between employer/Industry and apprentices as stated in IAI plan
- ii. Capacity development of staff of participating enterprises and other stakeholders
- iii. Submission of project completion report

Additionally, this result area would also focus on:

- i. Research to examine the interest of employers in apprenticeship and benefits derived from apprenticeship and awareness creation on apprenticeship.
- ii. Capacity Development of state/central government officers and industry to create awareness of apprenticeship training programs, policies and benefits.
- iii. Establishment of dedicated technical cell in all states/UT to coordinate apprenticeship activities in the state/UT. The technical cell will be called State Apprenticeship Monitoring Cell (SAMC).
- iv. Communication related activities to raise awareness among stakeholders, encourage dual mode of training and, increase the overall participation levels of employers in apprenticeship training in India.

#### 1.2.5. Technical Assistance

Apart from the above result areas, STRIVE also has a Technical Assistance Component which will focus on meeting expenses of National and State implementing agencies like National Project Implementation Unit (NPIU) at national level and State Project Implementation Units (SPIUs), conducting research studies and capacity development of various institution participating in the project.

Funds under the technical assistance component will be utilized towards:

- i. Program implementation support, including strengthening the NPIU's and SPIU's institutional capacities and the recruitment of a PMC

- ii. Facilitation of policy development and the implementation of regulatory reforms in the skills sector
- iii. Piloting innovative interventions focused on improving training and employment outcomes for girls, including introducing stipends to foster women participation in labor market returns to different trades
- iv. Carrying out of monitoring and evaluation activities including impact evaluations and qualitative assessments of the STRIVE results
- v. Carrying out of beneficiary feedback studies examining demand and supply challenges faced by youth and vulnerable/marginalized groups, with specific focus on girls
- vi. Carrying out third party validation of STRIVE DLIs by Independent Verification Agency
- vii. Conducting Tracer Study in the 5<sup>th</sup> year of the STRIVE Project.

#### 1.2.6. Technical Support

To further complement the Technical Assistance, STRIVE has provision of Technical Support which will be fully funded by Government of India. The funds under the Technical Support will be utilized towards:

- i. Establishment and running costs of National Project Implementation Unit (NPIU) at national level and State Project Implementation Units (SPIUs) at the State/UT level
- ii. MIS including e - governance module(s) component
- iii. Policy development and regulatory reforms in long term skilling
- iv. Monitoring and Evaluation activities including impact evaluation of Project
- v. Piloting Innovative interventions for improvement in training
- vi. Carrying out beneficiaries feedback studies examining challenges faced by youths
- vii. Apart from above, any other activity as approved by NSC/SSC depending on the availability of funds.

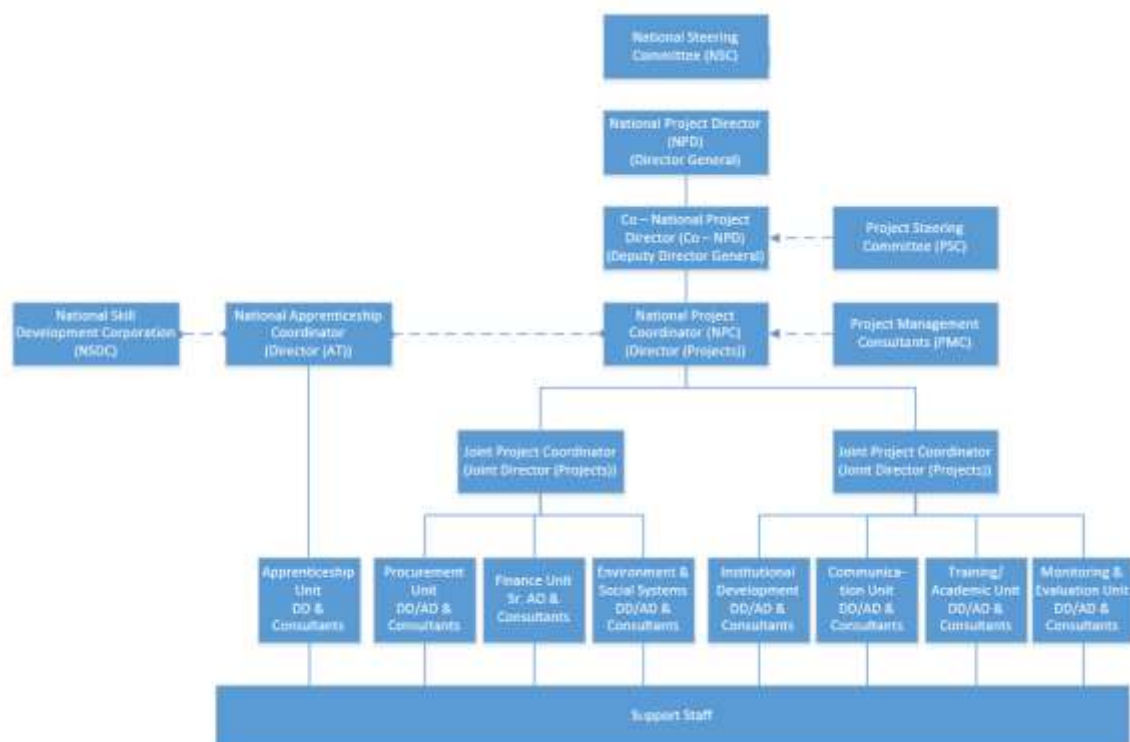
**Note:** Technical Assistance and Technical Support of the project have been designed to facilitate achievement of Disbursement Linked Indicators (DLIs) and Intermediate Result Indicators (IRs).

## 2. INSTITUTIONAL ARRANGEMENTS

### 2.1. Organogram for STRIVE

The project is guided at the central-level by a National Steering Committee (NSC), chaired by the Secretary of Ministry of Skill Development and Entrepreneurship (MSDE), and includes representation from the industry, states and inter-ministry officials. The NSC reviews project implementation at the national level and is supported by a National Project Implementation Unit (NPIU), headed by a National Project Director (NPD). NPIU would be supported by a Project Management Consultancy (PMC) in order to implement the project. MSDE has also formed a Project Steering Committee (PSC), headed by Deputy Director General (Projects), to review functioning of the project and resolve operational issues in implementation of the project.

**Figure 1: Organogram for STRIVE**



Within each State/UT, the project will be guided by a State Steering Committee (SSC), headed by the Principal Secretary/ Secretary/ Commissioner for department concerned with vocational training and will include representation from industry and relevant experts. Each SSC will review project implementation at the State/UT level throughout the life of the project. The SSC will be assisted by a State Project Implementation Unit (SPIU) with full-time officials/consultants and support staff as indicated in Section 2.3.2.

State Apprenticeship Monitoring Cell (SAMC) along with representatives from National Skill Development Corporation (NSDC) and Regional Directorate of Apprenticeship Training (RDAT), under overall supervision of SPIU, will be responsible for overall implementation and co-ordination for apprenticeship related result area of STRIVE in the states/UTs. SAMC would form an integral part of SPIU in each State.

In order to participate under STRIVE, each State/UT will enter into a Memorandum of Understanding (MoU), referred to as the performance-based funding agreement (PBFA) with the Government of India. The PBFA will include the mutually agreed Key Performance Indicator (KPI) targets for reform activities by the States/UTs for improving operational environment of training in ITIs and Apprenticeship. The PBFA shall be signed by the Secretary/Principal Secretary of the Department in the state that has administrative control of ITIs. All participating States/UTs need to establish SSC, SPIU and SAMC within 3 months of signing of PBFA. Additionally, the participating States/UTs will also designate one nodal officer for environmental monitoring to ensure compliance to systems established across each ITI.

At the ITI level, each participating ITI would have an Institute Management Committee (IMC) (or equivalent), which comprises majorly of industry representatives. It would be chaired by an industry partner so as to enhance the industry linkages and market relevance in all aspects of the training and to ensure that training courses are fully demand driven.

## 2.2. Institutional arrangement at National Level

### 2.2.1. National Steering Committee

The MSDE is the implementing agency, with responsibility of providing overall policy directives, coordination and directions for all project related activities. At an operational level, this responsibility is vested with the NSC. The NSC will play a key role in guiding and advising the project implementation and monitoring the systemic reforms that the project will initiate.

The composition of the NSC is as follows, which may be revised from time to time by the MSDE/Chairperson of the committee:

- The Secretary, MSDE is the chairperson of the Committee
- The Financial Advisor to MSDE (or her/his nominee)
- Additional Secretary/Director General (Training) as The National Project Director is an ex-officio member, and acts as Secretary of the Committee
- Representatives, not below of Joint Secretary rank of two Central Ministries: Ministry of Human Resource Development(MHRD) and Ministry of Micro, Small & Medium Enterprises

- Principal Secretary / Representatives of three state governments (on rotation basis)
- Chief Executive Officer, National Skill Development Corporation
- Joint Secretary, National Skill Development Corporation (NSDC) & PMKVY, MSDE
- Additional Secretary/ Joint Secretary, MSDE

NSC may co-opt any other person/body as special invitee such as industry representatives/industrialist/ industry association (preferably from IMC) as and when required

The NSC is responsible for:

- Guiding and advising on the work of the NPIU
- Reviewing and approving the Annual Work Plan and Budget (AWPB) of the NPIU.
- Reviewing implementation progress periodically and providing directions on resolving the challenges faced in the operations
- Overseeing operational activities of SSCs.
- Considering recommendations put forward by SSCs for financing Govt. ITIs, National Level ITI Evaluation Committee (NLIEC) for financing private ITIs and National Cluster Evaluation Committee (NCEC) for financing ICs.
- Suggesting, reviewing and approval of proposals from MSDE for policy development activities for policy development
- Scrutinizing and approving proposals for foreign training and study tours.

The NSC meets preferably on semi-annual basis although meetings may be convened by the Chairperson based on need, as and when required. NSC may empower/advise NPD to take decision(s) as and when required. Alternatively, special cases may be placed for approval of NSC via e-mail communication.

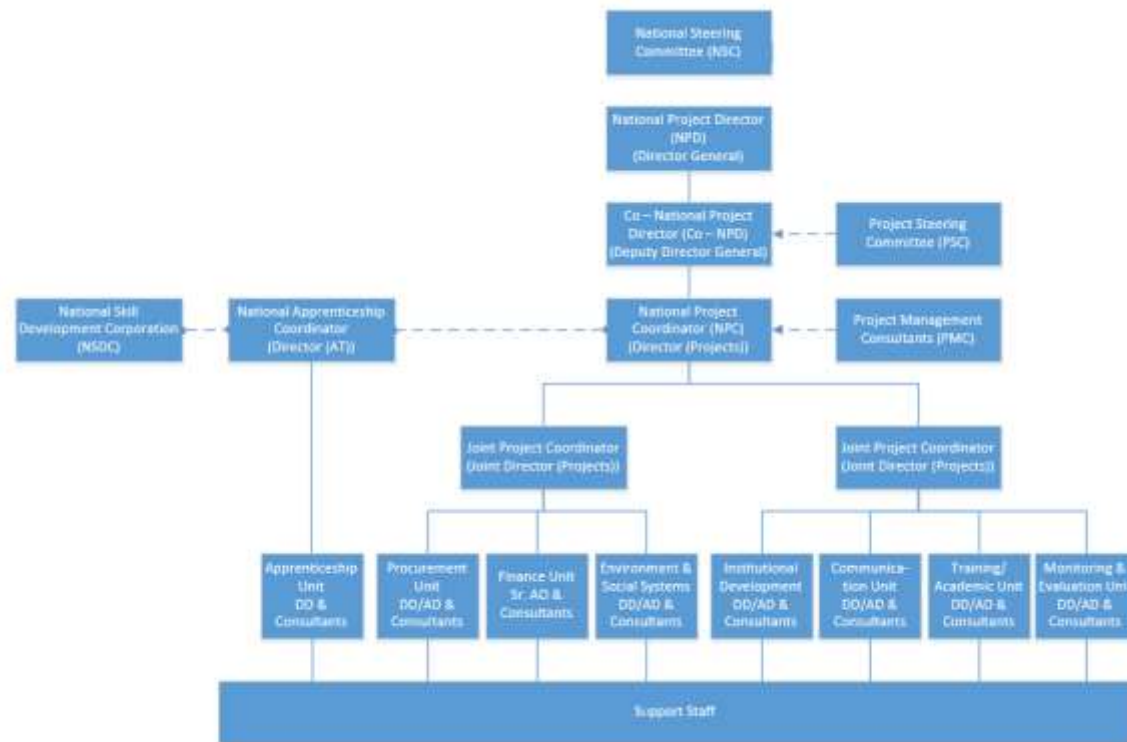
## 2.2.2. National Project Implementation Unit

### 2.2.2.1. *Structure of NPIU*

Under the guidance of the NSC, the NPIU will be directly responsible and accountable for project implementation, day-to-day management and coordination, and for meeting the administrative and legal requirements of the Government of India (GoI) and the World Bank. It will also organizes Joint Review Missions (JRM) with World Bank and prepares documents for the JRMs. The NPIU guides and supports State/ UT(s)/ implementing agencies, provides information and examples of good practice on all aspects of project implementation. The NPIU will periodically monitor the progress of implementation of the project at the central and state levels.

The structure of the NPIU is as below:

**Figure 2 : Structure of NPIU**



The NPIU is headed by a National Project Director (NPD). This position is held by a senior official of the rank of Director General/Additional Secretary.

As illustrated in the NPIU organogram above, the NPD will be supported by a co-NPD (of the rank of Deputy Director General) who would be further assisted by one full time National Project coordinator (NPC) (rank of Director) of the MSDE. The co-NPD will be responsible for policy matters, co-ordination among different Directors, will act as Chairman of Project Steering Committee and will guide the NPC. In absence of NPD, co-NPD will be empowered to take decision as NPD. The NPC will guide, advise, coordinate, manage and monitor all project related activities and result area, through four to six functional units like Procurement Unit, Finance Unit, Institutional Development Unit, Training/Academic Unit, Apprenticeship Unit and Monitoring & Evaluation Unit.

The various units supporting the NPC will be staffed (with deputed full-time officials from MSDE and, consultants) as shown in the NPIU organogram above (figure 2).

The nodal officer for Environmental and Social system at NPIU will be assisted by a full-time/part-time consultant to develop materials on environmental and social system and provide training support to the NPIU, SPIU staff and other implementing agencies. The Monitoring & Evaluation Unit will also functionally support the NPC. The NPC will be

empowered to recruit short-term and full-time consultants as required from time to time. The Project will finance the salary cost of only the full-time staff at the NPIU, fee to consultants, salaries of contractual support staff, expenditure on rent and refurbishment of hired offices, goods, training workshops, travel and other operating costs of the NPIU.

*2.2.2.2. Functions of NPIU*

Under the guidance of the NSC, the NPIU is directly responsible and accountable for project implementation, day-to-day management and coordination, and for meeting the administrative and legal requirements of the Government of India and the World Bank; including but not limited to selection of ITIs and ICs, timely release of funds to States/UTs, ICs and implementing agencies covered under the project. The NPIU will also provide timely progress and expenditure reports that adhere to World Bank and/or Government of India policies and guidelines. The NPIU guides and supports States/UTs and institutions on all aspects of project implementation including but not limited to approving reasonable changes/suggestions by States.

The Project Management Consultant (PMC), hired by NPIU as per The World Bank procurement guidelines, will assist the NPIU and SPIUs under the former’s guidance to provide planning, implementation, technical, and monitoring support to the project. It will co-ordinate with the SPIUs for various project implementation activities.

**Figure 3: Composition of PMC at NPIU level**



The SPIUs may further hire consultants (individual or firm) to assist them in the implementation of the project. The PMC at national level will coordinate with SPIU or their respective consultants in each State, or groups of States, as required, to support the SPIU and ensure that the SPIUs do not default in data reporting, release of funds, submission of reports and any other activity that may be required of the SPIU under the project.

Refer Annexure 1 for detailed scope of work of the PMC in implementation of STRIVE.



### 2.2.2.3. *NPIU Staff Duties*

The **National Project Director** has overall responsibility for the project and is accountable for its management. With the guidance of the NSC, the NPD is responsible for:

- Overseeing the project implementation, including compliance with the Tribal People Planning Framework.
- Reviewing the annual and semi-annual work plans and budgets of the NPIU and placing it before the NSC for approval.
- Directly supervising the project
- Providing directions and guidance to NPC for project implementation and policy development.
- Supervising the progress of institutions financed under the project through PMC
- Periodic review of the progress of the project on defined parameters. Foreseeing and resolving the bottlenecks
- Coordinating with the relevant Principal Secretaries/Secretaries/Commissioners at the State/UT level for effective implementation of the project and helping resolve issues requiring high-level interventions.
- Facilitating Joint Review Mission and other supervision and implementation support meetings, as required.
- Facilitating constitution of National Level ITI Evaluation Committee (NLIEC) for evaluation of private ITIs and National Cluster Evaluation Committee (NCEC) for evaluation of Industry Cluster (IC) Application/ Industry Apprenticeship Initiative (IAI) Proposal
- Carrying out related tasks as may be reasonably requested by the NSC.
- Responsible for making all operational and strategic decisions towards implementation of different activities under the project

The co-National Project Director provides support to NPD for policy matters, co-ordination among different Directors. S/He will act as Chairman of Project Steering Committee and will guide NPC. In absence of NPD, co-NPD will be empowered to take decision as NPD.

The **National Project Coordinator** provides support to the NPD and is directly responsible for:

- Preparing annual work plans, including annual budgets and detailed semi-annual plans and budget.
- Selecting (with the approval of the NPD), manage and arrange training modules for NPIU staff.

- Considering and authorizing proposals for local technical assistance for activities undertaken at the national level.
- Considering proposals for and subsequently procuring international technical assistance for activities undertaken at both national and State/UT levels.
- Arranging international study tours involving national and/or State/UT participants.
- Liaising with stakeholders (local and foreign) involved in the project.
- Arranging/organizing periodic workshops with SPIUs in order to discuss the progress of the project and identify any problems and bottlenecks in the implementation of the project.
- Ensuring effective transfer of knowledge and lessons learnt to the counterparts within and across ministries.
- Ensuring that any services that can ensure more efficient performance of the project have been provided.
- Submitting annual plans and budget, quarterly progress report to the NSC.
- Organizing JRMs and other supervision and implementation support mission, as required.
- Carrying out related tasks as may be identified by the NPD or the NSC.
- Responsible for day-to management of project activities by coordinating with Project Management Consultants(PMC)
- Coordinating with all stakeholders involved in implementation of the project at different stages.
- Developing Terms of Reference (TORs) for policy studies, hiring national/international consultants to undertake studies, and supervising the work of consultants.

The **National Apprenticeship Coordinator and National Apprenticeship Unit** Director Apprenticeship of DGT acts as National Apprenticeship Coordinator and will lead the National Apprenticeship Unit. This unit will guide NPC regarding progress and provide technical inputs for the implementation **of RA4** listed in Annexure 5 and Section 3.4.4

The **Joint Project Coordinators (JPC) along with functional units and other support staff** provide support to NPC and are directly responsible for co-ordination with all stakeholders involved in implementation of activities covered under the project.

The **Financial Management Unit**, under the guidance of the NPC and direct guidance of the Joint Project Coordinator (JPC), is responsible for:

- Managing the funds provided for national level activities under the project, including monitoring project accounts and costs.
- Ensuring application of the World Bank's procedures as stated in the STRIVE Project Appraisal Document (PAD) towards stated requirements therein for financial management for implementation of the STRIVE Project including technical assistance component.
- Liaison with SPIUs on all financial management related issues
- Acting as a reference point for all project-related financial management matters for GoI/MSDE/NSC/PSC
- Preparing annual estimates and budget for the project.
- Ensuring timely release of funds to States/UTs as per OM
- Ensuring maintenance of project accounts as per project guidelines
- Preparing consolidated project level quarterly Financial Management Reports (through Excel/PFMS/designated bank Dashboard) and ensuring their timely submission from States/UTs.
- Coordinating for conducting Annual audit for NPIU and States/UTs. Preparing and submitting compiled Audit paras for action at States/UTs and Centre.
- Ensuring timely compliance of audit paras by NPIU and coordinating timely response from State/UTs about audit paras.
- Participating in reviews and financial monitoring of states and other implementing agencies covered under the project.
- Preparing and implementing a plan of capacity building in financial management of staff in NPIU and SPIUs and other implementing agencies w.r.t. PFMS/ designated bank Dashboard usage and its implementation and reviewing the capacity building requirements of the finance staff across the project on an ongoing basis.

The **Procurement Unit**, under the guidance of the NPC and the direct guidance of the JPC, is responsible for:

- Ensuring full knowledge and systematic application of the World Bank's procurement guidelines for implementation of the technical assistance component under the project.
- Ensuring full knowledge and systematic application of the government (centre/state) procurement guidelines for implementation of the technical support component under the project.
- Managing the procurement of goods and consultancies required for national level activities under the project
- Guiding the operations of Procurement Officers in SPIUs through providing advice and operating as a clearing house for issues (problems and solutions) raised by State/UTs.

- Building capacity of the State Procurement Officers in accordance with the procurement norms and as per the outcomes of the procurement capacity assessment.
- Reviewing the procurement documents and certifying technical specifications before forwarding the documents to the World Bank for prior review.
- Monitoring and complying with the agreed procurement actions in the Program Action Plan<sup>1</sup>.
- Facilitating post-reviews that may be conducted by the World Bank.
- Acting as a support and reference person for all project-related procurement tasks including but not limited to preparing and monitoring the procurement action plan.
- Acting as first line for dealing with procurement related enquiries or complaints referred directly to the NPIU or referred by SPIUs.

The **Institutional Development Unit**, under the guidance of the NPC and the direct guidance of the JPC, is responsible for:

- Conducting orientation for States/UTs on the criteria and process for selection of ITIs along with ISP preparation
- Reviewing funding requirements from the institutions and the States/UTs.
- Creating awareness among stakeholders about the project objectives and eligibility criteria for financing.
- Reviewing recommendations from SSCs for funding ITIs and preparing advice for the NSC.
- Evaluating the performance of project ITIs and disseminating good practices.
- Organizing training for SPIU officials, ITI principals on institutional management.
- Organizing knowledge sharing workshops at national and regional levels for sharing good practices on ITIs, institutional development, and innovations.
- Developing and overseeing procedures for undertaking quality audits of institutions participating in the project.

The **Academic/Training Unit**, under the guidance of the NPC and the direct guidance of the JPC, is responsible for:

- Organizing and facilitating training for ITI principals and instructors.
- Organizing and facilitating overseas training and study tours for administrators at NPIU/SPIU, ITI principals and instructors, and IC managers.
- Reviewing the annual training plans of States/UTs and helping them to implement the plans.

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<sup>1</sup> Refer Program action Plan on page-97 of <http://documents.worldbank.org/curated/en/849071488682856000/pdf/India-Skill-Strengthening-PAD-02102017.pdf>

- Facilitating strengthening of the CFIs involved in the project.
- Providing support for activities concerned with curriculum revision and refinement.
- Organizing workshops with key stakeholders (across different ministries, the private sector and Non-Governmental Organization (NGOs) to disseminate interim findings and final reports;

The **Monitoring and Evaluation Unit**, under the guidance of the NPC and the direct guidance of JPC is responsible for:

- Developing, implementing and maintaining a project Management Information System (MIS).
- Monitoring the internal operations of the project.
- Monitoring the progress of the project on results linked indicators and Disbursement Linked Indicators (DLIs).
- Monitoring the fund flow of all the implementing agencies using the dashboard/ common tally cloud software provided by the empanelled bank.
- Guiding the operations of Monitoring and Evaluation Specialists in SPIUs through providing advice and operating a clearing house for issues (problems and solutions) raised by State/UTs.
- Incorporating baseline data on the performance of institutions into the MIS.
- Developing procedures to regularly monitor the performance of institutions participating in the project, and preparing semi-annual monitoring reports based upon information submitted by SPIUs. This will include procedures for assisting with ad hoc surveys (such a tracer studies and surveys of employers' attitudes).
- Conducting/commissioning impact evaluation of training projects and various types of other studies, and disseminate the findings.

In addition to these functional units, NPIU would also be responsible for communications and environment and social systems, as listed below:

a) Communication, Management Information Systems (MIS) and Information and Communication Technologies (ICT)

- Document best practices and resource materials from different sources.
- Organize knowledge sharing sessions with various stakeholders.
- Design overall Information, Education and Communication (IEC) strategy for the project including awareness generation and social marketing strategy.
- Design and implement a web-based project Management Information Systems (MIS) which shall allow for easy compilation of data from all States/UTs for DLIs / Results Indicators / KPIs etc. on monthly / quarterly/ annual basis.

- Procure required Information Communication Technologies (ICT) equipment and ensure its suitable maintenance and repairs.

b) Environmental and Social Systems

- Ensure that the project is carried out in accordance with World Bank safeguards policies and other requirements. The requirements include:
  - Development of robust environment management system and ensuring functioning of the system in ITIs
  - Trainees aware of and practice good safety norms in ITI
  - Apprenticeship ensures good Occupational Health and Safety (OHS) and waste management standards
- Collect and analyze data and other information on enrollment, graduation, placements, etc. of women, SCs, STs, Other Backward Classes (OBCs), minorities, and persons with disabilities in ITIs and apprenticeships.
- Design strategies for enhancing inclusion of women, SCs, STs, OBCs, minorities, and persons with disabilities, in long-term skills training.

2.2.3. Project Steering Committee

In order to ensure effective implementation of the STRIVE project, a PSC will be constituted under the chairmanship of co - NPD with sufficient representation and participation from various stakeholder like The World Bank, PMC team and DGT.

2.2.3.1. Composition of PSC

Composition of Project Steering Committee will be as follows:

**Table 2: Composition of Project Steering Committee**

Position in Committee	Designation of the Officer
<b>Chairperson</b>	Ex-officio, DDG (Projects, CFI and Administration), DGT
<b>Member</b>	Director (Projects), DGT
<b>Member</b>	Director (Apprenticeship), DGT
<b>Member Convener</b>	Joint Director, NPIU
<b>Two Members</b>	Representatives from PMC
<b>Member(s)</b>	Representative(s) from The World Bank
<b>Member</b>	Representative from NSDC for Apprenticeship

### *2.2.3.2. Functions of PSC*

Project Steering Committee (PSC) headed by co-NPD, will be responsible for:

- Reviewing the functioning of the STRIVE Project vis-à-vis its objectives, goals, deliverables, operational plans etc.
- Reviewing and discussing the policies, new initiatives etc. related to the STRIVE project
- Discussing operational issues and provide optimal resolution
- Monitoring, evaluating and advising necessary changes (if required) in the milestones, timelines and activities of the Strive Project- including deliberation on agenda for National Steering Committee (NSC), if required
- Advising on the progress and future deliverables and plans of the STRIVE Project
- Screening of proposals to be placed before NSC for allocation of funds.

The PSC will meet every fortnightly (preferably) for initial two months post which a monthly meetings are proposed to review the progress of the STRIVE Project for the preceding month.

### *2.2.4. National Level ITI Evaluation Committee*

National Level ITI Evaluation Committee (NLIEC) will be constituted for evaluation of private ITIs under Result Area-1 of STRIVE.

#### *2.2.4.1. Composition of NLIEC*

National Level ITI Evaluation Committee (NLIEC) will be housed in the NPIU. It will have representation from NPIU and SPIUs. The final composition of NLIEC will be as directed by NPD.

#### *2.2.4.2. Functions of NLIEC*

National Level ITI Evaluation Committee (NLIEC) will be responsible for the following:

- Evaluation of Institute Strategic Plan (ISP) received from eligible private ITIs on the online portal under Result Area-1 of STRIVE
- Evaluating funding requirements of the private ITIs as detailed in ISP
- Sharing the ISP evaluation scores of the private ITI with National Steering Committee (NSC) for its approval

NLIEC will meet during each phase of private ITI selection i.e. for both Phase-1 and Phase-2, although meetings may be convened, as and when directed by NPD to conduct evaluation of private ITIs or to provide clarification to NSC on ISP evaluation scores. Alternatively, special cases may be placed for approval of NLIEC via e-mail communication.

## 2.2.5. National Cluster Evaluation Committee

National Cluster Evaluation Committee (NCEC) will be responsible for evaluation of IC Application and IAI Proposals under Result Area-4 of STRIVE.

### 2.2.5.1. Composition of NCEC

National Cluster Evaluation Committee (NCEC) will be housed in NPIU and will have representation from NPIU, NSDC and Industry. The final composition of NCEC will be as directed by NPD.

### 2.2.5.2. Functions of NCEC

NCEC will be responsible for the following:

- Evaluation of IC Application basis recommendation received from states under Result Area-4 of STRIVE
- Evaluation of IAI Proposal basis recommendation received from states under Result Area-4 of STRIVE
- Sharing the evaluation scores with National Steering Committee (NSC) for its approval

NCEC will meet during each phase of IC selection i.e. for both Phase-1 (pilot phase) and Phase-2, although meetings may be convened, as and when directed by NPD to conduct evaluation of IC/IAI or to provide clarification to NSC on evaluation scores. Alternatively, special cases may be placed for approval of NCEC via e-mail communication.

## 2.3. Institutional arrangement at State Level

### 2.3.1. State Steering Committee

SSC will be the apex body at the state/ UT level and would be instrumental in reviewing the implementation of the STRIVE project. They would work in close coordination with the SPIU and will recommend selection of evaluated ITI and IC to the NPIU.

The composition of the SSC will be as follows, which may be revised from time to time by the Principal Secretary, Department of Labor/ Skill Development/ Technical Education/ Secretary of the State/ UT (or department concerned, as applicable):

- The Principal Secretary, Department of Labor/ Skill Development/ Technical Education/ Secretary (or department concerned, as applicable) as the Chairperson,
- Financial Advisor/ Financial Controller of the Department concerned
- Chief Engineer of the State Public Work Department or her/his nominee not below the rank of a Superintending Engineer,
- Three industry members nominated by industry associations/ SME associations/ association at the industry clusters



- Three members having expertise and interest in vocational training nominated by the State/UT Government and
- The State Project Director shall be the ex-officio member, and shall act as Secretary of the SSC.

The chairman of SSC may co-opt a representative from State Skill Development Mission.

The SSC shall be responsible for:

- Guiding and advising the work of the SPIUs including SAMCs and authorizing reports to the state government, the central government, the NSC, and the World Bank.
- Assessing and recommending the Institute Strategic Plan (ISP) of ITIs and proposals for Industry Apprenticeship Initiative (IAI) from Industry Clusters (ICs) for financing under the project.
- Assisting selected ITIs in selection of Chairman of Institute Management Committee, if required
- Reviewing implementation progress periodically and providing directions on resolving the challenges faced in the operations including reform activities
- Recommending to NSC proposal for use of incentive funds for State reforms
- Reviewing and approving the Annual Work Plan and Budget (AWPB) of the SPIU.
- Overseeing operational activities of ITIs and ICs covered under the project in the state.
- Reviewing and approving the training plans for the staff of SPIU and of institutions.
- Meeting quarterly, or more frequently as required, to take stock of the project and facilitate project implementation.
- Scrutinizing and recommending proposals to NSC for foreign training and study tours of SPIU.

### 2.3.2. State Project Implementation Unit

SPIU is the key implementing body at the State/ UT level and will be directly responsible and accountable for project implementation within the State/UT, day-to-day management and coordination, and for meeting the administrative and legal requirements of the Government of India and the World Bank.

The participating States/UTs will be categorized under three broad categories depending on number of government ITIs in the state:

**Table 3: Category of States for SPIU**

Category	Number of government ITIs in the State/UT
A	More than or equal to 91 (ninety one)
B	Between 16 (sixteen) to 90 (ninety)
C	Between 1 (one) to 15 (fifteen)

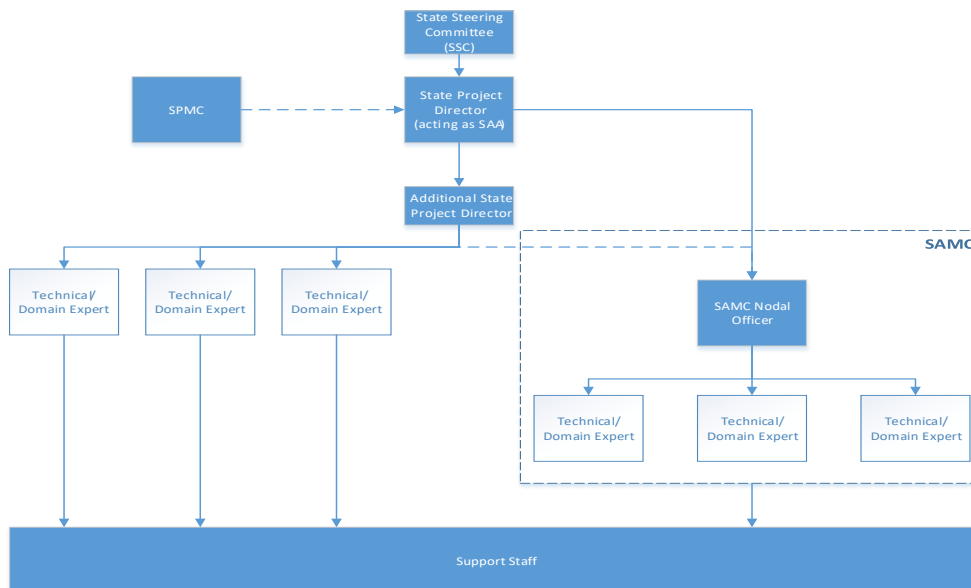
The above categorization will be used to decide the yearly grant funds to be disbursed to the SPIU in order to meet its expenses like Salary, PMC cost etc. for the implementation of the STRIVE project.

*2.3.2.1. Structure of SPIU*

The composition of the SPIU is as depicted below in figure 4, where it is proposed to be headed by a State Project Director (this is at the discretion of the respective participating states). The Director of Department of Labor/ Skill Development/ Technical Education of the State/ UT as the State Project Director (SPD). The SPD is assisted by an Additional State Project Director (ASPD).

Below the ASPD, the SPIU may hire the following experts: Financial management and procurement experts, Monitoring and Evaluation expert, Institutional Development Expert.

**Figure 4: Indicative Structure of SPIU (including SAMC)**



The indicative roles and their responsibilities for constituents (Technical/ Domain experts) of SPIUs and SAMCs are detailed in Annexure 2 and Annexure 3 respectively.

Each SPIU may engage consultants either on an individual ad-hoc basis or through recruitment of a firm to provide project management consultancy services to augment the capabilities of the SPIU. The selected State/UT project management consultants (SPMC) are expected to engage with the SPIU and co-ordinate with the NPIU at the national level, to ensure specific outcomes in areas, as agreed from time to time. The selected consultant shall also provide periodic project specific reports on the above.

In case SPIU hires a PMC, the indicative positions in State PMC (SPMC) could be as mentioned below in Table 4.

**Table 4: Category-wise Indicative Structure of SPIUs**

	<b>Indicative Functional Units</b>	<b>Indicative positions for SPMC if hired</b>
<b>SPIUs for category A states with greater than or equal to 91 Government ITIs</b>	<ul style="list-style-type: none"> <li>• Procurement cum Financial Management,</li> <li>• Institutional Development &amp; Training,</li> <li>• Monitoring and Evaluation, and</li> <li>• Environmental and Social Systems (State to nominate a nodal officer)</li> </ul>	<ul style="list-style-type: none"> <li>• Project Leader (1 Position);</li> <li>• Monitoring and Evaluation Specialist (1 Position)</li> <li>• Institutional Development / ITI Specialist (2 Positions);</li> <li>• Financial Management cum Procurement Specialist* (1 Position) and</li> <li>• Communication Specialist* (1 Position)</li> </ul>
<b>SPIUs for category B states with 16 to 90 Government ITIs</b>	<ul style="list-style-type: none"> <li>• Procurement and Financial Management,</li> <li>• Institutional Development;</li> <li>• Training and Monitoring and Evaluation (M&amp;E); and</li> <li>• Environmental and Social Systems (State to nominate a nodal officer)</li> </ul>	<ul style="list-style-type: none"> <li>• Project Leader (1 Position);</li> <li>• Institutional Development / ITI Specialist (1 Position);</li> <li>• Financial Management cum Procurement Specialist *(1 Position); and</li> <li>• Communication Specialist *(1 Position)</li> </ul>
<b>SPIUs for category C states with 1-15 Government ITIs</b>	The work is managed by existing officers and staff. State to nominate a nodal officer for Environmental and Social Systems	Up to three professional consultants on contract, from time to time, based on need

\* Deployed from time-to-time on need basis

SPIUs may further refer to institutional arrangements of SAMC regarding hiring of consultants for apprenticeship result area.

Each SPIU should appoint a nodal officer responsible for environmental and social systems.

### 2.3.2.2. *Functions of SPIU*

Under the guidance of the SSC, the SPIU is directly responsible and accountable for project implementation within the State/UT, day-to-day management and coordination, and for meeting the administrative and legal requirements of the Government of India and the World Bank; including such things as the timely release of funds to ITIs and ICs (through SAMC) on achievement of KPIs, continuously monitoring progress of project through KPIs and providing timely progress and expenditure reports as mandated under the STRIVE. The SPIU guides and supports project ITIs and ICs (through SAMC) on all aspects of project implementation. It will also co-ordinate with these institutions for various project implementation activities.

The SPIU provides information and examples of good practice, as well as guidance and support to institutions on all aspects of project implementation. This includes guidance on preparing ISPs, apprenticeship grant proposals (through SAMC), and on procurement and financial issues. It also includes efforts to build capacity of the ICs, ITIs and IMCs, wherever required. The SPIU facilitates the sharing of information among ICs and ITIs, and also training.

The SPIU is responsible for ensuring compliance with all social and environmental aspects under the project. It will monitor ITIs and ICs (through SAMC) to ensure they are in compliance with these requirements and the applicable environmental laws and regulations, and incentivize them to follow good practices in these areas.

It assists and prepares documents for JRMs. The SPIU periodically monitors progress of implementation at the institute level. It is responsible for ensuring that accurate and timely information is incorporated into the Project Website that is maintained by the NPIU as the hub of information for the States/UT on the project.

The SPMC (if hired under SPIU) will provide technical and implementation support and assist the SPIU in achieving the result areas under the project, by focusing on following key function areas and outputs:

- Overall Project Leadership,
- Institutional / ITI Development,
- Financial & Procurement Management,
- Communications Strategy, and
- Social and Environmental aspect

This support includes, but is not limited to:

- Provide reporting and analytical support for Joint Review Mission (JRMs);
- Assisting SPIU in guiding eligible ITIs and ICs in preparing Institute Strategic Plan (ISPs) and Industry Clusters (IC) application respectively

- Assisting SPIU in managing all fiduciary arrangements including financial management, monitoring and evaluation, procurement and other allied activities
- Supporting the SPIU in following up on the recommendations of JRMs and sharing feedback with State government counterparts;
- Supporting the SPIU in arranging workshops and trainings to facilitate cross-state sharing, and initiate dialogue and discussions on relevant issues/areas;
- Submission of periodic progress reports against agreed work plan to the SPIU; and
- Providing support in adherence with environmental and social systems requirements and best practices.

#### 2.3.2.3. *SPIU Staff duties*

The **State Project Director** is responsible for:

- Supervising the overall project management and implementation.
- Obtaining clearance, if any, from higher level in the state government.
- Coordinating with the NPIU.
- Furnishing information to the State/UT government and the NPIU and MSDE, as required.
- Convening the meeting of SSC on behalf of the Secretary.
- Acting as the ex-officio member and the Secretary of the SSC.
- Acting as State Apprenticeship Advisor for overseeing all activities related to apprenticeship under the project

The **Additional State Project Director** is responsible for:

- Managing and coordinating implementation of the project on a day-to-day basis.
- Preparing the project's annual work plans, including operations and budgets.
- Monitoring all project activities in the state.
- Selecting (with the approval of the State Project Director) and managing SPIU staff and consultants and ensuring their proper training and readiness.
- Considering proposals for and subsequently procuring local technical assistance for activities undertaken the State/UT level.
- Mobilizing resources to meet project's technical assistance needs.
- Liaising with stakeholders (local and foreign) involved in implementing the project.
- Ensuring the effective transfer of skills to staff of counterpart ministries.
- Facilitating the provision of required services to ensure efficient performance of the project.

- Submitting quarterly progress reports to the SSC.
- Carrying out project related tasks as may be reasonably requested by the SSC.

Indicative list of other staff members or consultants to be empaneled in SPIUs with their responsibilities has been included in Annexure 2.

### 2.3.3. State Apprenticeship Monitoring Cell

State Apprenticeship Monitoring Cell (SAMC) will be responsible for overall implementation and co-ordination for apprenticeship related result area of STRIVE in the states/UTs.

Considering the available number of Micro, Small & Medium Enterprises (MSMEs), each State/UT is classified under three groups namely:

- Group A (5-20 Lakh MSMEs),
- Group B (Above 1 Lakh and less than 5 lakh MSMEs) or
- Group C (Below 1 Lakh MSMEs) as stated below:

**Table 5: Category of States/ UT for SAMC & Funding Allocation**

Category	Group A	Group B	Group C
<b>Number of States/UTs</b>	15 states	7 states	14 states
<b>List of States/UTs</b>	Andhra Pradesh, Bihar, Gujarat, Haryana, Karnataka, Kerala, Madhya Pradesh, Maharashtra, Odisha, Punjab, Rajasthan, Tamil Nadu, Telangana, Uttar Pradesh and West Bengal	Assam, Chhattisgarh, Delhi, Himachal Pradesh, Jammu and Kashmir, Jharkhand and Uttarakhand	Andaman & Nicobar, Arunachal Pradesh, Chandigarh, Dadra & Nagar Haveli, Daman & Diu, Goa, Lakshadweep, Manipur, Meghalaya, Mizoram, Nagaland, Puducherry, Sikkim and Tripura
<b>Maximum Central Govt. funding from MSDE in each year</b>	INR 80 Lakhs/State or UT	INR 48 Lakhs/ State or UT	INR 32 Lakhs/ State or UT

NPIU will release funds to the States on receipt of proposal for establishing SAMC with the concurrence of the Finance Department of the Ministry of Skill Development &

Entrepreneurship. Expenditure under the project will be made at the State Directorate dealing with Apprenticeship Training Scheme.

The funding from MSDE, Govt. of India for SAMC is till STRIVE project duration and will be proposed to be available till 2022. Refer Annexure 4 for illustrative breakup of expenditure for each category.

### 2.3.3.1. Structure of SAMC

SAMC will be headed by a State Project Director/ State Apprenticeship Advisor in the State. States have flexibility in designing the SAMC structure and allocate individual budget heads as per their own requirements. For reference of the state, a staffing structure with indicative budget is mentioned in Annexure 3.

Regular officer hired in SAMC (For example Joint Director/ Deputy Director/ Assistant Director - as per state discretion) will monitor the expenditure. State shall make necessary arrangements for hiring resources required to manage SAMCs. If any State has not setup SAMC, the department concerned dealing with apprenticeship in the state (led by State Apprenticeship Advisor) will perform the functions of SAMC for the interim.

### 2.3.3.2. Functions of SAMC

SAMC will be coordinating with stakeholders who will be administrating IAI grant as detailed in Annexure 5. Additionally, functions of SAMC are detailed below:

**Table 6: Functions of SAMC**

S. No	Activity Description	When	Critical Flag Points
1	State to submit proposal to establish dedicated State Apprenticeship Monitoring Cell (SAMC)	It's a one-time activity.	Timely hiring and capacity building of sanctioned staff of SAMC.
2	States through SAMC to constitute and convene State Cluster Evaluation Committee (comprising members - RDAT concerned, representative from SSDM, NSDC SEO) meeting to scrutinize all IC applications and recommend the qualified ICs to National cluster Evaluation Committee ( housed at NPIU) for approval.	Within 5 days of receiving application from ICs	Timely intimation to RDAT, NSDC SEO, SSDM rep for participating in the evaluation process and timely recommendation to NPIU for approval  Strict adherence to the scoring matrix prescribed by NPIU

S. No	Activity Description	When	Critical Flag Points
3	Notification of Selection/Rejection to ICs, Directorate General of Training (DGT), NSDC SEO and RDAT	Immediately after activity 2	Timely intimation
4	Tripartite Agreement signing with IC & MSDE. Head of State Directorate dealing with Apprenticeship Training Scheme (Principal Secretary/ Secretary/ Commissioner) is the signatory from state.	Within 5 days of IC selection	Timely notification to NPIU and coordination with IC for signing.
5	SAMC to Conduct Screening process of detailed IAI proposal submitted by ICs, assess its relevance and feasibility and recommend the qualified ICs to NPIU for approval.	Within 5 days of receiving proposals from ICs	Timely recommendation to NPIU and Strict adherence to the scoring matrix prescribed by NPIU
6	State to notify ICs on the decision of NPIU on IAI proposal	Same day of receiving approval from scrutiny committee	Adherence to the time limit
7	Verification and review of the milestone claims made by IC and instructions to department for Release of funds to ICs as per the achieved milestones	Within 3 days of each claim submission by IC & funding triggers specified in financial guidelines.	Adherence to the time limit for fund release
8	Providing Handholding support to IC on apprenticeship portal, trade selection, training design etc. as per the approved IAI plan.	Case Basis	Technical Exposure of State team
9	Facilitate and coordinate with apprentice contract signing authority - State Apprenticeship Advisor (for designated trades) and NSDC /SSDM for optional trades.	Case Basis	Identification of coordination SPOCs and expediting the contracts.
10	Review of the IAI plan for 2nd and 3rd Year of the IC	Anniversary of the agreement date	Identify areas that IC could not achieve in previous year IAI plan and how IC plans to address it
11	Review of Capacity Building activity and Procurement plan	While reviewing IAI proposal	Rational with Apprenticeship



S. No	Activity Description	When	Critical Flag Points
			Implementation Cell (AIC) objectives
12	Verification of Annual Completion Report of ICs along with recommendations to be sent to NPIU/DGT	Annually	Identify slippages, reasons and mitigation measures specially from capacity perspective of IC
13	Organize training and outreach workshops/seminars	Case Basis	Rational with complementing ICs
14	Setup Grievance Redressal mechanism	Within 5 days of ICs are approved in state	Unbiased, transparent system
15	Handholding and Capacity Building activities for ICs on IAI preparation and plan implementation	Case Basis	Technical exposure of SAMC staff
16	Collection and review of reports detailed in Annexure 20C and Annexure 39	Quarterly	Technical exposure of SAMC staff

#### 2.3.3.3. SAMC Staff duties

SAMC will be headed by State Apprenticeship Advisor; States have flexibility in structuring the SAMC and hire resources as per their state requirements.

Indicative list of other staff members or consultants to be empaneled in SAMCs with their responsibilities has been included in Annexure 3.

#### 2.3.4. State Cluster Evaluation Committee

State Cluster Evaluation Committee (SCEC) will be responsible for evaluation of IC Application and IAI Proposals under Result Area 4 of STRIVE.

##### 2.3.4.1. Composition of SCEC

The State Cluster Evaluation Committee headed by SAA shall comprise of representatives of SAMC, RDAT concerned, NSDC SEO of the State concerned, representative from SSDM and one industrialist from private sector (by submitting a disclaimer that he/she has no business relation with participating members of ICs).

**Note:** The States are empowered to add/delete members of this SCEC as deemed fit under intimation to NPIU.

#### *2.3.4.2. Functions of SCEC*

SCEC will be responsible for the following:

- Evaluation of IC Application at state level under Result Area-4 of STRIVE
- Evaluation of IAI Proposal at state level under Result Area-4 of STRIVE
- Sharing the evaluation scores with State Steering Committee (SSC) for its approval and recommending it to NCEC (housed at NPIU)

SCEC will meet during each phase of IC selection i.e. for both Phase-1 and Phase-2, although meetings may be convened, as and when desired by SAA to conduct evaluation of IC/IAI or to provide clarification to SSC on evaluation scores.

### 3. RESULT AREAS OF STRIVE

#### 3.1. Result Area 1: Improving Performance of ITIs

In order to better address key challenges affecting quality, relevance and efficiency of training in Industrial Training Institute (ITIs), the Government of India has introduced the Performance-Based (PB) Grants for 500 ITIs under STRIVE project.

The result area will address key challenges of ITIs by supporting them in improving quality of their skill development programs, enhancing labour market relevance and efficiency of operations by:

- a. Increasing industry relevance, on-the-job training, industrial exposure of teachers and need assessment of trainers;
- b. Introduction of new courses (Craftsmen Training Scheme (CTS) courses and other National Skills Qualifications Framework (NSQF) complied short-term courses) to respond to local labor market needs;
- c. Mobilizing disadvantaged groups such as females and scheduled tribes (STs) by introducing tailored courses for them;
- d. Strengthening pedagogical approaches for soft skills development;
- e. Strengthening employment promotion activities for graduating students;
- f. Introducing income-generating activities for enhanced institutional sustainability such as introduction of fee-paid NSQF compliant short programs (with a minimum duration of 300 hours);
- g. Improving facilities and upgrading training equipment and adding new trades in the ITIs.

##### 3.1.1. Overview of PB Grants for 500 ITIs

A total of 500 ITIs, consisting of both Government ITIs (400 ITIs) and Private ITIs (100 ITIs), will receive performance based grants of INR 1000 crore under the project. NPIU and respective state governments represented by the SPIU for STRIVE, will be responsible for selecting the ITIs in accordance with these guidelines.

- a. The grant funding will be provided to ITIs to cover costs of reform activities defined in an Institute Strategic Plan (ISP) to be prepared by the ITI.
- b. Project ITIs will receive funding on signing the PBGA as defined in Section 3.1.6. In line with performance based results principles, the subsequent release of funds will depend on the proven achievement of Key Performance Indicators (KPI) milestones by the ITI.

This implies that an ITI will receive grant funding depending on the milestones achieved across various KPI targets, as agreed in the PBGA. It also means that an ITI which

does not meet agreed milestone at a specified point in time, will not receive the corresponding funding related to the KPI milestone, irrespective of actual expenditure already incurred.

Additionally, if any ITI achieves a milestone in succeeding year(s) during the course of the STRIVE, the fund(s) will be released in that year upon verification of such achievement.

### 3.1.2. State-wise Allocation of ITIs and allocated Budget

The state-wise allocation of Govt. ITI for STRIVE is detailed in Annexure 6. This distribution is basis existing distribution of Government ITIs across the country i.e. the total number of ITIs to be selected under STRIVE have been proportionally distributed as per total number of Govt. ITI across states<sup>2</sup> in the country.

However, Private ITIs will be selected basis national level competition by the National Level ITI Evaluation Committee (NLIEC) constituted by NPIU (Committee details are listed in Section 2.2.4)

ITIs are proposed to be covered under the project with an average allocation of INR 2 crore per ITI. At the time of evaluation of ITIs, National Level ITI Evaluation Committee (NLIEC) / SPIU/NPIU will determine the amount of funding appropriate for the ITI based on Table 7 below and corresponding ISP submitted by the ITI.

**Table 7: Fund Allocation per ITI**

<b>ITI classification</b>	<b>Criteria (based on yearly enrolments in NCVT trades<sup>3</sup>)</b>	<b>Maximum funds per ITI</b>
<b>Group A</b>	Enrolment above 600	INR 2.5 crore
<b>Group B</b>	Enrolment between 200 and up to 600	INR 2 crore
<b>Group C</b>	Enrolment up to 200	INR 1.5 crore

It must be noted that Table 7 indicates only the maximum funds that an ITI may receive under each Group. The actual funds will be released based on the achievement of agreed KPI target milestones basis Performance Based Grant Agreement (PBGA).

In due course of the project, the selected ITI can reallocate up to 30% of total allocated funds with approval of its Institute Management Committee (IMC) (or equivalent body as detailed in Section 3.1.8). Any reallocation of funds above 30% would need approval from respective SPIU.

<sup>2</sup> As per NCVT MIS data on 31<sup>st</sup> May 2018

<sup>3</sup> Value of the academic session 2017-18 as per NCVT MIS Portal

### 3.1.3. Eligibility criteria for ITIs

Government ITIs and Private ITIs will be eligible to apply for PB Grant basis the ITI grading score assigned by Core Grading Committee, Ministry of Skill Development and Entrepreneurship (MSDE).

The ITIs will be shortlisted based on the grading score assigned by Core Grading Committee, MSDE. The ITIs that meet defined quality standard as per grading framework will be invited for competitive selection. Out of these ITIs, the ITIs to be funded will be selected competitively based on the Institutional Strategic Plan (ISP) submitted by them detailing their proposal for improving the quality and relevance of its training programs.

**The selection will be based on composite score which will have 75% weightage to ISP score and 25% to Grading Score.**

ITIs will be selected in two phases as per the following schedule:

**Table 8: Phase wise selection of ITIs**

Phases	Government ITI	Private ITI
ITIs to be selected in Phase-1	160	40
ITIs to be selected in Phase-2	240	60

Following ITIs would be eligible for shortlisting:

#### **a. Private ITIs eligible to submit ISP under STRIVE**

Total 100 Private ITIs from across the country will be competitively selected under STRIVE.

- Only those Private ITIs with grade of at least 2.5 will be eligible to submit ISP under STRIVE.

#### **b. Government ITIs eligible to submit ISP under STRIVE**

Total 400 Government ITIs will be competitively selected under STRIVE

- Government ITIs with grade of at least 2.0 will be eligible to submit ISP under STRIVE (Phase-1 and <sup>4</sup>Phase-2). States will ensure that at least 40% of their maximum targets of Government ITIs are selected in Phase-1. To ensure competitive selection of project ITIs at state level, ISPs will be invited from sufficient number of graded Govt. ITIs i.e. 1.3 times their maximum allocation.

However, as an exception for Phase-1, if sufficient number of graded government ITIs meeting grading criteria of 2.0 and above are not available in the state, then such states will be provided an opportunity to nominate other graded government ITIs to submit ISP under Phase-1 of selection. However, SSC shall ensure that

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<sup>4</sup> Eligibility grading score under Phase-2 may be revised basis approval of NSC, on recommendation of NPIU.

number of such nominated government ITIs in final recommendation list at state level would be subject to a cap of 40% of the state allocation (*maximum listed state allocation rounded off to the nearest integer*) as detailed in Annexure 6.

*e.g. if state has been allocated range of 15-20, then the state should ensure that at least 8 ITIs ( i.e. 40% of 20 and rounded off) are selected in Phase-1 and ISP applications are received by state from at least 10 ITIs (i.e. 1.3 of 8 and rounded off ). However, if there are only 3 Government ITIs with grade of at least 2.0 in the state, then states can invite up to 7 additional ( 10 ITIs-3 ITIs) graded government ITIs to submit their ISP under Phase-1 of selection. SSC will ensure that there can not be more than 8 nominated government ITIs in final recommendation list (40% of 20)*

- Additionally, as an exception, all model ITI irrespective of grading score will be eligible to submit ISP for funding under STRIVE
- The total number of government ITIs getting selected across various phases of selection can not exceed the number allocated to the state (as per state allocation detailed in Annexure 6)

**Note:** Minimum grading score for eligible government ITIs may be increased to a score greater than 2.0 by respective SPIU if enough government ITIs (i.e. 1.3 times the maximum state allocation under Phase-1/Phase-2) are available for competitive selection above that threshold score.

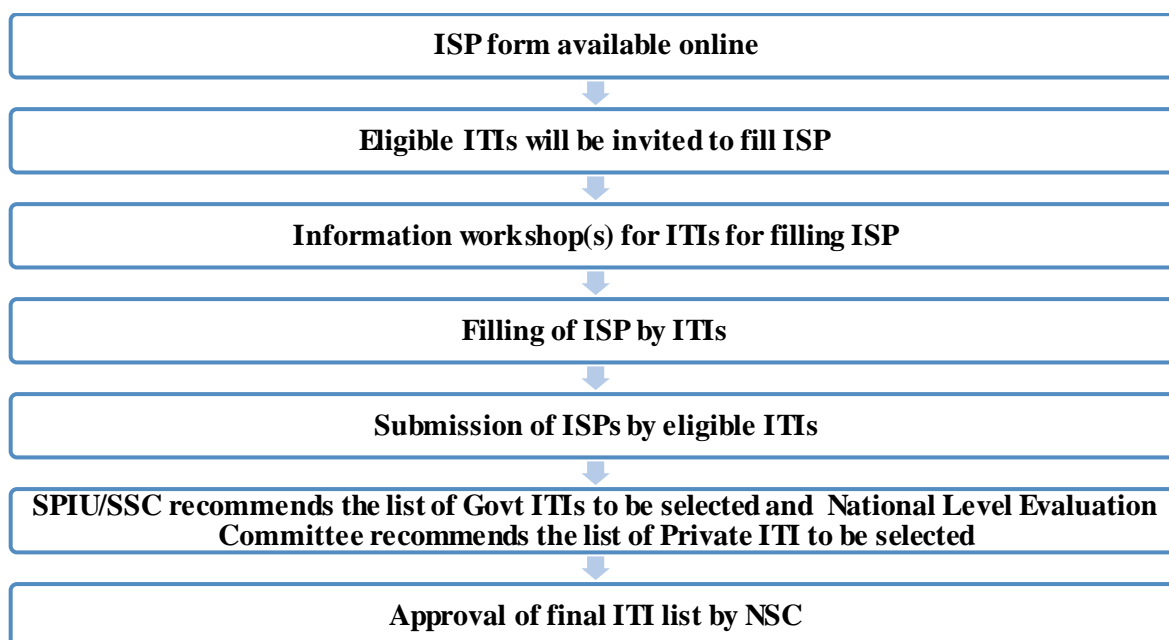
#### 3.1.4. Selection process of ITIs

The ITIs that desire to receive PB Grant under STRIVE Project will be invited to apply on a national level online selection portal.

- a. All Government and Private ITIs that meet set of defined minimum eligibility criteria (Section 3.1.3) are eligible to submit ISP as per Annexure 7 on the portal
- b. The ISP will be evaluated in time bound manner basis checklist provided by Directorate General of Training (DGT) (Annexure 8).
- c. ISP of Govt. ITI will be evaluated by respective SPIU of the ITIs and ISP of Private ITI will be evaluated by a National Level ITI Evaluation Committee having representatives from National Project Implementation Unit (NPIU) and SPIUs
- d. Final list of selected ITIs will be released by National Steering Committee (NSC) basis evaluation scores shared by SPIUs (and approved by respective SSCs for Govt. ITI) and by National Level ITI Evaluation Committee (for Private ITI).

The selection process for each phase of selection is as follows:

Figure 5: Selection Process- Steps for selection of 500 ITIs



**Note:**

- MSDE will be re-launching process of grading of ITIs across the country and hence subsequently ITIs with improved grades or ungraded ITI will also be eligible to apply in Phase-2 subject to the grading requirement getting fulfilled.
- If sufficient number of eligible ITIs is not available in a particular state even after two phases, then that state's allocation will be reallocated to other states basis approval of NSC, on recommendation of NPIU.

### 3.1.5. Institutional Strategic Plan (ISP)

The grant funding will be provided to ITIs to cover costs of reform activities defined in an Institute Strategic Plan (ISP) to be prepared by the ITI. Institutional Strategic Plan (ISP) will outline the objectives and targets in each reform area (Table 9), and the resources required to achieve the intended targets. ITIs that receive grant funding will also report on their performance on each of these activities.

Each shortlisted ITI shall prepare an Institute Strategic Plan (ISP) in the format as provided in Annexure 7. Institutional Strategic Plan is a proposal that ITIs will submit to their respective SPIUs (for Govt. ITI)/ National Level ITI Evaluation Committee (NLIEC) ( for Private ITI) outlining their plans and resource requirements to achieve required KPIs and also towards carrying out long-term reform activities. The monitoring of all ITIs under STRIVE will take place on the basis of the ISP.

In the ISP, the ITIs will need to mention the details regarding funds received and utilized under previous scheme(s) of the Government of India i.e. “World bank Assisted Vocational Training Improvement Project (VTIP)”, “Upgradation of 1396 Government ITIs through Public Private Partnership (PPP)” and “Model ITI Scheme” and corresponding status of fund utilization under these scheme(s).

The below table (Table 9) summarizes the potential activities undertaken in each reform area.

**Table 9: Potential Reform Activities to be outlined in the ISP**

<b>Reform Area</b>	<b>Potential Activities</b>
<b>Deepening industry linkages</b>	<ul style="list-style-type: none"> <li>• Conclusion of formal agreements with companies and company groups (i.e. through Memorandum of Understanding (MoUs) / Memorandum of Association (MoAs) to define cooperation models and mutual responsibilities</li> <li>• Identification of priority skills development programs, jointly conducted by ITIs and industry</li> <li>• Industry and ITI joint planning and co-financing of rehabilitation, modernization and introduction of new workshops and training facilities</li> <li>• Cooperation in curriculum development</li> <li>• Involvement of enterprise experts in ITI training, e.g. through guest lectures</li> <li>• Staff development of ITI trainers, including industry visits</li> </ul>
<b>Developing training supply in line with market needs</b>	<ul style="list-style-type: none"> <li>• Introduction of new competency based training programs, additional trades/training programs or topping up the course with industry linkages including NSQF compliant short-term courses</li> <li>• Expansion and up gradation of existing trades, in line with market needs and NCVT requirements; up gradation of SCVT trades to NCVT trades</li> </ul>
<b>Improving quality of facilities</b>	<ul style="list-style-type: none"> <li>• Upgrading of training machinery and equipment (excluding civil infrastructure)</li> <li>• Management staff training</li> </ul>
<b>Improving employment promotion activities</b>	<ul style="list-style-type: none"> <li>• Introduction of training cell/placement cell and training of placement officers</li> <li>• Company visits and other industry exposure activities</li> <li>• Improving the relevance of entrepreneurship education and training, e.g. through incorporating business practitioners</li> <li>• Introduction of new methodologies for soft-skills and work readiness teaching</li> </ul>



<b>Reform Area</b>	<b>Potential Activities</b>
	<ul style="list-style-type: none"> <li>• Conducting placement activities (job fairs, recruitment days, job matching services, etc.)</li> <li>• Improved industry liaising to increase placement of the trainees</li> <li>• Activities to increase exposure of trainees to labor market realities, including through expansion of on-the-job training (OJT), company visits, etc.</li> <li>• Activities to increase the share of trainees undergoing OJT in line with the curriculum and to improve the quality of OJT</li> </ul>
<b>Promoting inclusion</b>	<ul style="list-style-type: none"> <li>• Increasing career counseling and marketing of ITI trades/courses among female youth, ST/ minority and other disadvantaged sections of the society</li> <li>• Introduction of new courses with good labor market prospects for women</li> <li>• Development of institutional inclusion policies</li> <li>• Gender and inclusion training of teaching and management staff</li> <li>• Earmarked employment promotion activities for females and deprived section of the society</li> <li>• Studies to assess entry barriers and constraints of youth from the local area especially of women and deprived sections of the society</li> </ul>
<b>Capacity development of teaching staff</b>	<ul style="list-style-type: none"> <li>• Filling currently unfilled teaching positions (including with contract trainers)</li> <li>• Facilitating trainers to participate in further training, including technology-based continuous professional development programs</li> <li>• Organizing in-service training in cooperation with industry</li> <li>• Organizing national trainings for teachers</li> </ul>
<b>Improving income generating activities</b>	<ul style="list-style-type: none"> <li>• Production and sale of goods and services during practical training</li> <li>• Introduction of fee-paid NSQF compliant short programs</li> <li>• Other initiatives to improve institutional income</li> </ul>

It may be noted that the reform areas and the potential activities listed in Table 9 represent an optional menu of reform activities that is not binding for ITIs. Depending on the situation and capacity of each ITI, the actual range of reform areas may need to be adjusted and tailored to the specific requirements of the ITI. For example, an ITI that has already has a placement cell and an active placement coordinator will not need further emphasis and activities in this reform area. Also the potential reform activities listed in Column 2 of Table 9 represent options and an illustration of what activities could possibly be undertaken to

improve the ITI's performance. However, each ITI has to tailor activities to its specific requirements.

In the ISP, the ITI shall also list its resource requirement. This shall include the availability of resources from other sources and the requirements for funding under STRIVE.

The evaluation of the relevance, appropriateness and consistency of the ISP will be part of the selection process of ITIs to be funded under the project. The selection process is described in Section 3.1.4 and Annexure 6 of these Guidelines.

#### *3.1.5.1. ISP Submission & Evaluation Process*

Participating ITIs will be selected through an evaluation process that is based on selection criteria as defined below:

- i. After the shortlisting of eligible ITIs as defined in Section 3.1.4, ITIs will be invited to participate in an information workshop to guide in this project and the preparation of ISP. To ensure accountability in the selection process, all information and clarifications about the project, process and the evaluation criteria will be published on the state directorate and project websites.

- ii. **ISP evaluation process**

- a) ISP Evaluation Process for Government ITI

- SPIUs will invite eligible Govt. ITIs in their states to submit ISP on an online selection portal operated by the NPIU with access for state level beneficiary data to the respective SPIU of the corresponding State/UT.
- Govt. ITIs in the state will be evaluated by respective SPIU
- The SPIU will then submit all evaluated proposals to the SSC and SSC will prepare a recommended list of ITIs to be funded under the project. SSC will further share the recommended list (with scoring) with NSC through NPIU for the final approval of NSC.

**Note:** NSC (through NPIU) may request clarification from SPIU on the ISP evaluation marks (shared by the states).

- b) ISP Evaluation Process for Private ITI

- NPIU will invite eligible Private ITIs to submit ISP on an online selection portal operated by NPIU.
- Private ITIs across the country will be evaluated (basis application received on the portal) by a National Level ITI Evaluation Committee having representatives from NPIU and SPIUs.
- Final list of Private ITIs will be approved by NSC based on the scoring shared by National Level ITI Evaluation Committee

- iii. Under “ISP Evaluation Parameters” of Annexure 8, all criteria are assigned weights (1 or 2) and each criteria can be scored (0 to 3). The sum of weighted scores from all criteria represents the total score (i.e. Total Sum of weightage\*score across all the criteria).

**Note:** In case of ungraded model ITI, Grading score will be considered as zero for arriving at the composite score.

The details are in Annexure 8.

**Table 10: Selection Criteria for ITIs**

Criteria	Score
<b>I. Grading score</b>	<b>Grading score of the ITI</b> <i>(Total 25 marks)</i>
<b>II. Capacity and Relevance Evaluation (Basis ISP submitted on the portal)</b>	<b>ISP Score</b> <i>(Total 75 marks)</i>
a. Enrolment, Pass outs and Diversity	18 Marks
b. Placement and Industry Linkages	21 Marks
c. OJT Data	12 Marks
d. Trainers and Curriculum	24 Marks
<b>Note:</b> <b>Minimum ISP score required for selection:</b> 25 Marks or as decided by respective SPIU Only the ITIs meeting the minimum ISP score will be further considered for composite scoring (out of 100 marks ) as detailed in Annexure 8	

- iv. NPIU may invite Principals of the ITIs recommended by SPIU on a sample basis to ascertain their vision for ITI and to understand the reform activities which ITI plans to undertake under STRIVE. Additionally, NPIU may invite feedback ( in form of photos, videos, testimonials etc.) on a sample basis from ITI students, trainers, alumni and/or employers or even visit the ITI before approving the final list of ITIs to be given grant under STRIVE.
- v. Accordingly, a tripartite Performance Based Grant Agreement (PBGA) be signed between MSDE, Respective State Government and the Institute Management Committee for the ITI. Draft tripartite Performance Based Grant Agreement (PBGA) is detailed in Annexure 9.
- vi. If an ITI fails, for whatever reason, to sign the PBGA, the ITI with the next highest score on the evaluation list (Basis respective State-Level list for Govt. ITI and National Level list for Private ITI) will be offered to sign the PBGA
- vii. The selected ITIs must establish an Institute Management Committee (IMC) or equivalent in accordance with the requirements of the project in Section 3.1.8. The

IMC will be set up as a 'society' registered under relevant Societies Registration Act. Additionally, governing body of private ITIs managed/driven by industry will also be accepted as equivalent body to IMC if it is registered either as a Society/Trust or as a Section 8 Company as per Companies Act 2013.. IMC (or equivalent) will be entrusted with the responsibility of managing the affairs of the ITI under the project. Details on detailed responsibilities of IMC members is listed in Section 3.1.8.3

- viii. The selected ITI must not change their principals for the duration of implementation of the project. In case the change is inevitable wherein the principal has resigned or has been promoted; the ITIs will need to intimate the change to SPIU and get themselves revalidated by SPIU and NPIU. SPIU would also review the performance of the principal on a case by case basis, and if not satisfactory it can request for a change in consultation with the NPIU.
- ix. Additionally, each ITI shall have a designated nodal person on environmental and safety management who will be responsible to undertake broad environmental management in the respective ITIs. These include onsite construction management covering aspects of the Occupational Health and Safety of workers, students, teachers, and other staff in the ITI; appropriate construction debris disposal; drainage along the ITI campus; hazardous waste management, sanitation, and water supply; and taking due care to monitor these aspects.

#### 3.1.6. Key Performance Indicators and Fund allocation

Based on the intended reform areas and Disbursement Linked Indicator (DLIs), four KPIs have been identified at the ITI level and the ITIs will receive funding based on achievement of these KPIs. The KPIs are as follows:

1. Percentage increase in number of graduates at the respective ITI
2. Increase in female enrolment rate across trades being conducted at the respective ITI
3. Percentage increase in total enrolments at the respective ITI
4. Increase in percentage of total trainees at the respective ITI who have undergone OJT as per the prescribed curriculum

**Note:**

- Graduates refer to trainees who have successfully completed and been certified a CTS trade or any other NSQF compliant trade offered in the ITI with a minimum duration of 300 hours.
- Enrolled candidate refers to trainee who has enrolled in any CTS trade or any other NSQF compliant trade offered in the ITI with a minimum duration of 300 hours.
- Trainees undergoing OJT measures the number of trainees undergoing OJT across ITI. This shall be counted for all dual training trades and other trades under CTS or any other NSQF compliant trade offered in the ITI for which the curriculum has an OJT requirement. The minimum period of OJT for the purpose of this indicator shall be as prescribed in the curricula. OJT requirement

may be fulfilled through training in any enterprise, including informal and/or local industry, and production centers.

- SPIUs will carry out periodic monitoring/review of ITIs in their state to ascertain ITI performance on mutually agreed outcomes.
- In case of female ITIs having female only enrolment, yearly funds allocated to KPI-2 (2. Increase in female enrolment rate across trades being conducted at the respective ITI) will be re-allocated to KPI-3(Percentage increase in total enrolments at the respective ITI). Thus for such ITIs, KPI-2 will have total fund allocation of 0% ( as opposed to 17% for other ITIs) and KPI-3 will have total fund allocation of 24% ( as opposed to 7%). Accordingly, yearly-fund allocation will also be re-adjusted accordingly for all the years.

The following Table 11 presents the year-wise target for each KPI as well as the performance based funding allocated against each target. As detailed in Table 11, each ITI will be entitled to get 40% of the total amount allocated for the ITI upon signing of the PBGA.

The KPI targets and fund allocation against each target is presented in the table below:

**Table 11: KPI Targets and Fund Allocation for ITIs**

KPI	Year 0	Year 1	Year 2	Year 3	Year 4*	Total till Year 4)
	2018-19	2019-20	2020-21	2021 -22	2022-23	
1. Percentage increase in number of graduates at the respective ITI	<b>Signing of PBGA</b> 40%	6% increase in number of graduates in various trades being conducted at the respective ITI (versus baseline of academic year 2017/18)	12% increase in number of graduates in various trades being conducted at the respective ITI (versus baseline of academic year 2017/18)	16% increase in number of graduates in various trades being conducted at the respective ITI (versus baseline of academic year 2017/18)	20% increase in number of graduates in various trades being conducted at the respective ITI (versus baseline of academic year 2017/18)	
Allocation (% of maximum fund for the ITI)		6%	6%	5%	5%	<b>22%</b>
2. Increase in female enrolment rate across trades at the respective ITI		Female enrolment has reached 12% of all enrolled students at ITI (during academic year 2019/20 )	Female enrolment has reached 14% of all enrolled students at ITI (during academic year 2020/21)		Female enrolment has reached 16% of all enrolled students at ITI (during academic year 2022/23 )	
Allocation (% of maximum fund for the ITI)		6%	6%		5%	<b>17%</b>

KPI	Year 0	Year 1	Year 2	Year 3	Year 4*	Total till Year 4)
	2018-19	2019-20	2020-21	2021 -22	2022-23	
3. Percentage increase in total enrolments at the respective ITIs		10% increase in total enrolments at the respective ITI (versus baseline of academic year 2017/18)	15% increase in total enrolments at the respective ITI (versus baseline of academic year 2017/18)	25% increase in total enrolments at the respective ITI (versus baseline of academic year 2017/18)		
Allocation (% of maximum fund for the ITI)		3%	2%	2%		7%
4. Increase in percentage of total trainees at the respective ITI who have undergone OJT as per the prescribed curriculum		8% of trainees enrolled in ITI in academic year 2019/20 have undergone OJT	11% of trainees enrolled in ITI in academic year 2020/21 have undergone OJT	15% of trainees enrolled in ITI in academic year 2021/22 have undergone OJT		
Allocation (% of maximum fund for the ITI)		3%	3%	8%		14%
<b>Total allocation:</b>	<b>40%</b>	<b>18%</b>	<b>17%</b>	<b>15%</b>	<b>10%</b>	<b>100%</b>

\*Till November 2022

The targets against each KPI have been divided year-wise.

At the end of the project, the ITIs shall be required to utilize the funds remaining unutilized if any at the end of Year 4 for the reform activities outlined under the ISP and the expenditures to be incurred shall be the Eligible Expenditure as specified under Section 3.1.7.

**Note:**

- Fund disbursement is based on achieving the above mentioned KPIs and utilization of funds as per Table 28 in Section 4.1.3.1
- Funds would not be released earlier than the scheduled date if such KPI milestones are achieved at any time earlier than the specified schedule listed in Table 11. Thus, it should be ensured that the performance based on the KPIs (for each year) is maintained for the entire course of the STRIVE.
- Conversely, if the yearly KPIs are not achieved in that very year, they will be carried forward to the subsequent year(s) and disbursements would be made only when such KPIs are achieved in the subsequent year(s) during the course of STRIVE.

**3.1.7. Eligible and Ineligible expenditure**

Funding made available to ITIs under the project is earmarked to cover, or part-cover, costs to undertake activities outlined in the ISP based on the reform areas listed in Table 9. As the amount of grant funding is dependent on the level of achievement of KPI targets, it may occur that the available grant funds exceed the costs of implementing reform activities to meet the target. In this case, ITIs may allocate available grant funds to other activities as long as these fall under one of the reform areas listed in Table 9.

The grant funds may be used only for making eligible expenditures- The eligible and ineligible expenditures for Government and Private ITIs are listed below in Tables 12 and Table 13 respectively.

**Table 12: Eligible and Ineligible Expenditures for Government ITIs (indicative)**

Category	Eligible expenditure	Ineligible expenditure
<b>Land/ Civil works</b>	<ul style="list-style-type: none"> <li>• Renovation/ repair/ alterations etc. required for machine/equipment installation or any other similar requirement. However, this amount can not exceed more than 5% of the total amount allocated to the ITI.</li> </ul>	<ul style="list-style-type: none"> <li>• Acquisition of land</li> <li>• Civil works ( apart from minor civil works as defined in eligible expenditure) like construction of new buildings, classrooms or workshops, hostels , refurbishment of office building, conference rooms</li> </ul>
<b>Equipment, furniture and other goods</b>	<ul style="list-style-type: none"> <li>• Purchase of equipment for start of new CTS trade or a NSQF compliant</li> </ul>	<ul style="list-style-type: none"> <li>• Purchase, maintenance or repair of any equipment which is not listed by NCVT or a</li> </ul>



Category	Eligible expenditure	Ineligible expenditure
	<p>trade/course with a minimum duration of 300 hours</p> <ul style="list-style-type: none"> <li>• Purchase, maintenance and repair of equipment for up gradation of existing trade/course to a CTS trade or a NSQF compliant trade/course with a minimum duration of 300 hours</li> <li>• Purchase, maintenance and repair of equipment to set up lab as per NCVT requirements. Equipment not under NCVT will be permissible with prior intimation and submission of justification to SPIU<sup>5</sup></li> <li>• Purchase of furniture and fixtures related to CTS trade or a NSQF compliant trade/course with a minimum duration of 300 hours</li> </ul>	<p>NSQF compliant trade/course and is not otherwise recommended to the ITI by industry</p> <ul style="list-style-type: none"> <li>• Purchase of vehicles (except those required for running NSQF compliant trades as per NCVT curriculum requirements)</li> </ul>
<b>Raw materials and tools</b>	<ul style="list-style-type: none"> <li>• Raw materials and tools for new and upgraded CTS trade or a NSQF compliant trade/course with a minimum duration of 300 hours</li> </ul>	<ul style="list-style-type: none"> <li>• Raw materials and tools for any existing trades/courses</li> </ul>
<b>Training of teaching and management staff</b>	<ul style="list-style-type: none"> <li>• Course fee/ training fee charged by training provider for training of trainers and management staff</li> <li>• Travel expenses, boarding and lodging and other expenses/ allowances for teaching and management staff as per applicable norms and rules, except where TA/DA is covered by State government</li> </ul>	<ul style="list-style-type: none"> <li>• Any payment to trainers for attending the training program</li> <li>• Rental for training venue</li> <li>• Expenditure towards travel, boarding, lodging, training materials, etc. for training provider</li> <li>• TA/DA for regular staff</li> </ul>
<b>Information and Communication Technology (ICT) infrastructure</b>	<ul style="list-style-type: none"> <li>• Trade-specific teaching material for ICT-based teaching and learning resources developed by National Instructional Media Institute (NIMI) or recognized by MSDE <ul style="list-style-type: none"> <li>• Procurement of trade specific teaching and learning material not</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• Civil infrastructure works required to set-up ICT infrastructure in the ITI</li> </ul>

<sup>5</sup> ITI should share such information on quarterly basis with SPIU regarding purchase of equipment not under standard tool list of NCVT or NSQF compliant courses. Additionally, such information should also be supported by suitable documentary proofs (like photographs) of such machines being used for the benefit of the ITI trainees.

Category	Eligible expenditure	Ineligible expenditure
	<p>developed by NIMI may be eligible at the discretion of corresponding States</p> <ul style="list-style-type: none"> <li>• Adding or improving internet facilities on campus</li> <li>• Improved teaching and learning aids, but not limiting to projectors</li> </ul>	
<b>Purchase of books and other learning materials</b>	<ul style="list-style-type: none"> <li>• Purchase of print and digitalized books and e-journals, CDs or other learning materials related to the trades being offered, soft skills, or employment prospects of trainees</li> </ul>	<ul style="list-style-type: none"> <li>• Purchase of laptops, tablets or other such equipment for individual trainees</li> </ul>
<b>Facilities for trainees</b>	<ul style="list-style-type: none"> <li>• Reimbursement of transport charges to women trainees</li> <li>• Hiring of vehicle for transportation of trainees to industry premises for OJT</li> </ul>	<ul style="list-style-type: none"> <li>• Purchase of vehicles ( except those required for running NSQF compliant trades as per NCVT curriculum requirements)</li> </ul>
<b>Salary</b>	<ul style="list-style-type: none"> <li>• In case there is no existing Training, Counseling and Placement Cell (TCPC), salary of one contract staff for Training, Counseling and Placement Cell (TCPC) needed to implement activities foreseen in the ISP</li> </ul> <p><b>Note:</b> This single post will be eligible expenditures for a period of two year only. Such post to be filled up by regular staff within a period of two year.</p>	<ul style="list-style-type: none"> <li>• Salaries of regular teaching and non-teaching staff, contract trainers for new trades/ units, contract staff needed to implement other activities foreseen in the ISP</li> </ul>
<b>Interaction with industry and other experts</b>	<ul style="list-style-type: none"> <li>• Travel cost, hospitality and honorarium paid to industry personnel/ experts for participation in curriculum development/ revision/ restructuring, trainee assessment, guest lectures, training of trainers</li> <li>• Expenditures towards inviting industries and hospitality during campus interviews and counseling sessions for trainees</li> <li>• Honorarium, boarding and lodging expenses for industry personnel/ experts to give specialized training to trainees</li> </ul>	<ul style="list-style-type: none"> <li>• Travel cost, boarding and lodging for industries for campus interviews</li> </ul>

Category	Eligible expenditure	Ineligible expenditure
	<ul style="list-style-type: none"> <li>Costs incurred in mobilization of trainees for industrial training</li> </ul>	
<b>Technical Support</b>		<ul style="list-style-type: none"> <li>Labor market assessment studies/ needs assessment for the local area</li> </ul>

**Table 13: Eligible and Ineligible Expenditures for Private ITIs (indicative)**

Category	Eligible expenditure	Ineligible expenditure
<b>Land/ Civil works</b>		<ul style="list-style-type: none"> <li>Acquisition of land</li> <li>Any kind of civil works</li> <li>Any renovation /repair required for installation of machines</li> </ul>
<b>Equipment, furniture and other goods</b>	<ul style="list-style-type: none"> <li>Purchase of equipment for start of new CTS trade or a NSQF compliant trade/course with a minimum duration of 300 hours</li> <li>Purchase, maintenance and repair of equipment for up gradation of existing trade/course to a CTS trade or a NSQF compliant trade/course with a minimum duration of 300 hours</li> <li>Purchase of furniture and fixtures related to trade</li> </ul>	<ul style="list-style-type: none"> <li>Purchase, maintenance or repair of any equipment which is not listed by NCVT or a NSQF compliant trade/course and is not otherwise recommended to the ITI by industry</li> <li>Purchase of vehicles (except those required for running NSQF compliant trades as per NCVT curriculum requirements)</li> </ul>
<b>Raw materials and tools</b>	<ul style="list-style-type: none"> <li>Raw materials and tools for new and upgraded trades</li> </ul>	<ul style="list-style-type: none"> <li>Raw materials and tools for existing trades</li> </ul>
<b>Training of teaching and management staff</b>	<ul style="list-style-type: none"> <li>Course fee/ training fee charged by training provider for training of trainers and management staff</li> </ul>	<ul style="list-style-type: none"> <li>Any payment to trainers for attending the training program</li> <li>Rental for training venue</li> <li>Expenditure towards travel, boarding, lodging, training materials, etc. for training provider</li> <li>Travel expenses, boarding and lodging and other expenses/ allowances</li> </ul>

Category	Eligible expenditure	Ineligible expenditure
<b>ICT infrastructure</b>	<ul style="list-style-type: none"> <li>• Trade-specific teaching material for ICT-based teaching and learning resources developed by NIMI or recognized by MSDE</li> <li>• Procurement of trade specific teaching and learning material not developed by NIMI may be eligible at the discretion of corresponding States</li> <li>• Adding or improving internet facilities on campus</li> <li>• Improved teaching and learning aids, such as projectors</li> </ul>	<ul style="list-style-type: none"> <li>• Civil infrastructure works required to set-up ICT infrastructure in the ITI</li> </ul>
<b>Purchase of books and other learning materials</b>	<ul style="list-style-type: none"> <li>• Purchase of print and digitalized books and e-journals, CDs or other learning materials related to the trades being offered, soft skills, or employment prospects of trainees</li> </ul>	<ul style="list-style-type: none"> <li>• Purchase of laptops, tablets or other such equipment for individual trainees</li> </ul>
<b>Facilities for trainees</b>	<ul style="list-style-type: none"> <li>• Hiring of vehicle for transportation of trainees to industry premises for OJT</li> </ul>	<ul style="list-style-type: none"> <li>• Purchase of vehicles ( except those required for running NSQF compliant trades as per NCVT curriculum requirements)</li> </ul>
<b>Salary</b>		<ul style="list-style-type: none"> <li>• Salaries for any staff</li> </ul>
<b>Interaction with industry and other experts</b>	<ul style="list-style-type: none"> <li>• Travel cost, hospitality and honorarium paid to industry personnel/ experts for participation in curriculum development/ revision/ restructuring, trainee assessment, guest lectures, training of trainers</li> <li>• Expenditures towards inviting industries and hospitality during campus interviews and counseling sessions for trainees</li> <li>• Honorarium, boarding and lodging expenses for industry personnel/ experts to give specialized training in soft skills to trainees</li> <li>• Costs incurred in mobilization of trainees</li> </ul>	<ul style="list-style-type: none"> <li>• Travel cost, boarding and lodging for industries for campus interviews</li> </ul>

Category	Eligible expenditure	Ineligible expenditure
Technical Support		Consultancy services related to: <ul style="list-style-type: none"> <li>Labor market assessment studies/ needs assessment for the local area</li> </ul>

### 3.1.8. Institute Management Committee

The selected ITIs must establish an Institute Management Committee (IMC)- if it is not already in place- in accordance with the requirements of the STRIVE project as detailed below.

The IMC will be set up as a ‘society’ registered under relevant Societies Registration Act. Additionally, governing body of private ITIs managed/driven by industry will also be accepted as equivalent body to IMC if it is registered either as a Society/Trust or as a Section 8 Company as per Companies Act 2013.

IMC will be responsible for managing the affairs of the ITI under the project.

#### Note:

- Any ITI (government or private) should not have more than one IMC (or equivalent) at any given point of time. Hence, if IMC( or equivalent) already exists in an ITI, It should just open separate STRIVE project bank account in the designated bank as per the financial guidelines defined in STRIVE Operations Manual
- For Private ITI, IMC (if required) needs to be established by ITI themselves.
- For Government ITIs, change in chairperson of IMC may be taken care by SPIU prior to signing of the PBGA under STRIVE. Changes in IMC members may be done in consultation with IMC Chairperson and ITI Principal.

#### 3.1.8.1. Structure of IMC

##### Composition of IMC for Government and Private ITI

The IMC will be led by the Chairperson\*. In the IMC, the members will be as follows:

- Industry Partner or Industry Association or its representative as Chairperson\*.
- Three other members from local Industry to be nominated by the Industry Partner out of which one may be preferably from industry association. Industry members should represent industries relevant to the trades running in that particular ITI
- One member from academic circle may be nominated jointly by chairperson of IMC and Principal of ITI.
- One senior faculty member from the ITI is to be nominated by the Principal of ITI.
- Principal of the ITI, as ex-officio member secretary of the IMC Society.
- Any additional regional industry members can be co-opted by chairperson in consultation with Principal.

\*Ideally IMC Chairperson should be from Industry Associations or nominated by an Industry Partner (IP) with minimum annual turnover of INR 10 crore (as per last financial year) and employing at least 25 people. In the absence of local industry members, Regional Industry Association members can be nominated by Chairperson in consultation with ITI Principal.

#### *3.1.8.2. Roles and Responsibilities of IMC (or equivalent)*

1. Develop and submit ISP (Institute Strategic Plan) on behalf of ITI ( if IMC exists even at the time of ISP submission)
2. Define the long-term goals of the institute, analyze issues and challenges facing the ITI and the conceptualize strategies for dealing with them including procurement strategy.
3. Set targets for ITI improvement, define key performance indicators, and detail the financial requirement with year wise break up to meet the ITI needs
4. Define requirement of trainers, goods, services for the ITI and take steps to undertake the reform activities accordingly
5. Sign Performance-Based Grant Agreement on behalf of ITI under STRIVE Project
6. Ensure implementation of various activities of the STRIVE project in time bound manner so as to adhere to the time schedule agreed in the ISP
7. Monitor the progress of implementation of the STRIVE project at ITI
8. Ensure compliance to procurement and audit guidelines as per STRIVE manual
9. Furnish periodic status reports to the SPIU/NPIU as per project requirements

#### *3.1.8.3. Roles and Responsibilities of IMC Members (or equivalent)*

1. The **Chairman** shall have the following powers, function and responsibilities:
  - a. The chairman shall provide vision to the Society (or equivalent) and lead the IMC for implantation of the STRIVE project.
  - b. The Chairman may direct the Secretary to call a special meeting at a short notice in case of emergency.
  - c. The Chairman shall see that the affairs of the Society(or equivalent) are run efficiently in accordance with the provisions of the Memorandum of Association, Rules & Regulation and bye laws of the Society(or equivalent) as may be framed.
  - d. On such matters, which the Chairman thinks are of sufficient importance and urgency and can not wait for being placed in the next meeting of the Governing Council, and which he anticipates would get the approval of the Council, the Chairman shall take decisions and place the same before the Governing Council at its next meeting.
  - e. The Chairman shall be the sole and absolute authority to judge the validity of the votes cast by the members of the Governing Council and General Body.
  - f. The Chairman may in writing delegate such of his powers as he may consider necessary to the Secretary.

- g. The Chairman shall be entitled to invite any other person to attend the meeting of the Governing Council but such person shall not have power to vote.
  - h. The Chairman shall have the authority to review periodically the work and progress of the Society (or equivalent) and to order inquiries into the affairs of the Society and to pass necessary orders on the recommendations of the inquiry committee.
  - i. The Chairman shall plan, direct and coordinate the overall working, of the Society (or similar).
2. The **Member Secretary/ITI Principal** shall have the following powers, functions and responsibilities
- a. The Secretary, in consultation with, the Chairman prepare agenda for the IMC meetings, convene such meetings, keep a true and accurate record of the proceedings of the same and forward all such documents, papers and related information as may be required in the discharge of his duties.
  - b. The Secretary shall be charged with the responsibility of day to day management and administration of the Society (or similar).
  - c. The Secretary shall perform his duties and functions and exercise his powers under the overall direction, superintendence and control of the Chairman under the Rules and Regulations, of the Society (or equivalent).

### 3.1.9. Prescribed Processes and Timelines for ITI selection under Result Area-1

**Table 14: Processes and Timelines for ITI selection**

S. No.	Type and description of Activity/document	Working days
1.	Approval of Operations Manual by NSC	T <sub>1</sub>
2.	NPIU to conduct capacity building of SPIU Staff for conducting ISP Evaluation and key activities for monitoring of ITI.	T <sub>1</sub> + 15 days
3.	Release of an advertisement on Pan India basis inviting eligible ITIs to submit Institute Strategic Plan (ISP) under Phase-1 of ITI selection through national selection portal	T <sub>1</sub> + 15 days
4.	SPIU to conduct capacity building of ITI Staff for filling of ISP on national selection portal	T <sub>1</sub> + 20 days
5.	Submission of ISP on online portal by eligible and interested ITIs under Phase-1 of ITI selection <b>Note:</b> Online portal will have the capability to filter ISP submitted by ITIs basis government/private, state/UT etc.	T <sub>1</sub> + 40 days
6.	Completion of evaluation process of all such ISP received at the level of SPIU/National Level ITI Evaluation Committee and	T <sub>1</sub> + 70 days

S. No.	Type and description of Activity/document	Working days
	forward the shortlisted ITI with their recommendations to NSC after approval by SSC ( for Govt. ITI) / National Level ITI Evaluation Committee (for private ITI)	
7.	NSC approval for the selection and onboarding of ITIs under Phase-1 of ITI selection	T <sub>1</sub> + 90 days
8.	On boarding of ITIs under Phase-1 of ITI selection and signing of a PBGA between Central Govt., State Govt. and ITI	T <sub>1</sub> + 120 days
9.	Release of requisite advance funds to ITIs by NPIU under Phase-1 of ITI selection	T <sub>1</sub> + 120 days
10.	Finalize baseline data collection from SPIU and ITIs under Phase-1 of ITI selection	T <sub>1</sub> + 120 days
11.	Opening of Phase-2 of ITI selection under STRIVE basis of Phase-2 of grading	T <sub>2</sub>
12.	Release of an advertisement on Pan India basis inviting eligible ITIs to submit Institute Strategic Plan (ISP) under Phase-2 of ITI selection through national selection portal	T <sub>2</sub> + 15 days
13.	SPIU to conduct capacity building of ITI Staff for filling of ISP on national selection portal	T <sub>2</sub> + 20 days
14.	Submission of ISP on online portal by eligible and interested ITIs under Phase-2 of ITI selection <i>Note: Online portal will have the capability to filter ISP submitted by ITIs basis government/private, state/UT etc.</i>	T <sub>2</sub> + 40 days
15.	Completion of evaluation process of all such ISP received at the level of SPIU/National Level ITI Evaluation Committee and forward the shortlisted ITI with their recommendations to NSC after approval by SSC ( for Govt. ITI) / National Level ITI Evaluation Committee (for private ITI)	T <sub>2</sub> + 70 days
16.	NSC approval for the selection and onboarding of ITIs under Phase-2 of ITI selection	T <sub>2</sub> + 90 days
17.	On boarding of ITIs under Phase-2 of ITI selection and signing of a PBGA between Central Govt., State Govt. and ITI	T <sub>2</sub> + 120 days
18.	Release of requisite advance funds to ITIs by NPIU under Phase-2 of ITI selection	T <sub>2</sub> + 120 days
19.	Finalize baseline data collection from SPIU and ITIs under Phase-2 of ITI selection	T <sub>2</sub> + 120 days



## 3.2. Result Area 2: Increased capacities of State Governments

The objective of this result area of STRIVE is to:

- a) Support State Governments in improving the overall regulatory and operational environment of Industrial Training Institutions (ITIs) and establishing Industrial Clusters (ICs) at the State level;
- b) Incentivize States to introduce reforms within the skilling ecosystem through performance-based funding; and
- c) Improve the efficacy of skills training in India by strengthening the monitoring mechanisms at State level.

### 3.2.1. Performance Based Funding Agreement

In order to participate under STRIVE, each State/UT will enter into a MoU, referred to as the performance-based funding agreement (PBFA) with the Government of India acting through Directorate General of Training, MSDE. The participating States/UTs will be incentivized for initiating reform activities within the skilling ecosystem. The targeted reform activities include development of career progression policy, reduction in trainer vacancy, conducting tracer study and other state specific reform activities. The details of these targeted reform activities are covered in Section 3.2.3. The PBFA shall be signed by the Secretary/Principal Secretary of the Department in the state that has administrative control of ITIs. An advance of 30% of total fund allocation to State/UT will be released on signing of the PBFA. Additional conditions for release of funds are given in the Section 4.1.3.2.

### 3.2.2. Eligibility criteria for State/UT

All the States and Union Territories (UTs) are eligible to participate in this project. However, a State/UT should meet the conditions as specified in Section 2.1.

### 3.2.3. Reform activities

STRIVE aims to improve the overall operational environment of ITIs and apprenticeship programs at the state level through introducing performance-based financing between the MSDE and state governments. Results-based financing between the MSDE and state government will provide more autonomy to states to meet the agreed upon results while introducing a funding modality that will change the focus of dialogue between the MSDE and states from expenditures and inputs to policies and programs that improve the training ecosystem. Creating a better environment for ITIs' performance requires conducive operational regulations, further investment, effective monitoring systems, and the provision of appropriately qualified, competent, and

motivated principals and instructors. Performance-based funding will provide incentives to states to initiate necessary reforms and strategic programs.

This result area covers three mandated reform activities as listed below:

- i. Development of Career Progression Policy for ITI trainers
- ii. Reducing trainer vacancy in govt. ITIs
- iii. Conducting tracer study

On achievement of the targets of the aforementioned three indicators, the participating States/UTs will receive funds under this result area. Funds may be used to carry out the indicative reform activities in their State/UT as mentioned in Annexure 10

### 3.2.4. Allocation of funds

The allocation of funds that a State/UT can receive (i.e. the funds a State/UT is entitled to receive if it achieves all the targets and fulfills other conditions for release of funds as per Section 4.1.3.2) has been determined on the number of government ITIs in the State/UT. Each State/UT will receive funds on the basis of performance against Key Performance Indicators (KPIs) identified in Section 3.2.3. This result area provides incentive fund i.e. additional finance for vocational training in the form of grants to those State/UTs that have undertaken the reform activities as per defined Key Performance Indicators (KPIs) as detailed in Section 4.1.3.2. There are few indicative reform activities that have been listed in this manual. However, States/UTs may propose other activities that further supports the objectives of this project within the State/UT. The table below describes the limit on funds for each reform activity for category of states:

**Table 15: Distribution of Fund allocation for various reform activities across states**

S. No.	Reform Activity	Category A/B/C
1	Advance on signing of PBFA	30%
2	Career Progression Policy for ITI trainers	20%
3	Reducing trainer vacancy in govt. ITIs	30%
4	Conducting tracer study	20%

A state-wise fund allocation for this result area is placed at Annexure 11. The allocation is basis proportionate number of government ITIs in the states (as on June 2018). The above allocation might be revised upwards depending on performance of participating States/UTs at end of Financial Year 2020-2021. This would be basis funds available under this result area at end of Financial Year 2020-21 and will enable better performing states to further strengthen skilling ecosystem.

An advance on signing of Performance Based Funding Agreement (PBFA) would be given based on the category of State and as per approval by NSC. Model PBFA is given at Annexure 12 to this guideline.

### 3.2.5. Key Performance Indicators

Participating states/UTs shall be entitled to claim funds under this project only on the basis of achievement of defined targets against these Key Performance Indicators (KPIs) and utilization of funds as per Table 31 in Section 4.1.3.2. The participating states/UTs have been categorized in three broad categories on the basis of number of government ITIs in the state as depicted in Table 3 earlier. The targets for these KPIs are listed in Table 16 for Category A states and Table 17 for Category B & Table 18 for category C states. Each KPI target is expected to be achieved before the closing of the financial year in which it is specified. If a KPI target is achieved earlier, the State/UT shall be entitled to receive the corresponding amount in the same Financial Year (FY), in accordance with the fund release conditions mentioned in Section 4.2.3.2. In case a KPI target is achieved after the given deadline, a State/UT may still claim the corresponding amount if the target is achieved in subsequent years, but before closing of project in November 2022. A KPI target shall lapse if it is not achieved before closing of project in November 2022.

**Table 16: Key Performance Indicators Matrix for Category A states**

S. No.	Key Performance Indicators	Baseline	Target					
			2018-19	2019-20	2020-21	2021 -22	2022-23*	
1	Development of career progression policy including recruitment, training and allied initiatives. (States must have developed trainer’s development plan based on the guidelines provided by MSDE. The same must be approved by SSC.)	NA	30% as advance On Signing of PBFA					
	Monetary Allocation (% disbursement of total allocation for the reform activity as per Table 15)			100%				
2	Percentage Reduction in vacancies as proportion of sanctioned strength in ITI (measured as Percentage of total trainers (permanent or			10%	15%	20%	20%	

S. No.	Key Performance Indicators	Baseline	Target				
			2018-19	2019-20	2020-21	2021 -22	2022-23*
	contract teachers) from total sanctioned posts for NCVT trades in govt. ITIs)						
	Monetary allocation (% disbursement of total allocation for this reform activity as per Table 15)			30%	25%	25%	20%
3	Tracer studies conducted by the participating State/ UT (One tracer study to be conducted by Year 3)	NA					
	Monetary allocation (% disbursement of total allocation for this reform activity as per Table 15)				100%		

**Table 17: Key Performance Indicators Matrix for Category B states**

S. No.	Key Performance Indicators	Baseline	Target				
			2018-19	2019-20	2020-21	2021 -22	2022-23*
1	Development of career progression policy including recruitment, training and allied initiatives. (States must have developed trainer's development plan based on the guidelines provided by MSDE. The same must be approved by SSC.)	NA	30% as advance On Signing of PBFA				
	Monetary Allocation (% disbursement of total allocation for this reform activity as per Table 15)			100%			
2	Percentage Reduction in vacancies as proportion of sanctioned strength in ITI (measured as Percentage of			15%	20%	20%	20%

S. No.	Key Performance Indicators	Baseline	Target				
			2018-19	2019-20	2020-21	2021 -22	2022-23*
	total trainers (permanent or contract teachers) from total sanctioned posts for NCVT trades in govt. ITIs)						
	Monetary Allocation (% disbursement of total allocation for this reform activity as per Table 15)			30%	30%	20%	20%
3	Number of tracer studies conducted (One tracer study to be conducted by Year 2)	NA					
	Monetary Allocation (% disbursement of total allocation for this reform activity as per Table 15)			100%			

**Table 18: Key Performance Indicators Matrix for Category C states**

S. No.	Key Performance Indicators	Baseline	Target				
			2018-19	2019-20	2020-21	2021 -22	2022-23*
1	Development of career progression policy including recruitment, training and allied initiatives. (States must have developed trainer's development plan based on the guidelines provided by MSDE. The same must be approved by SSC.)	NA	30% as advance On Signing of PBFA				
	Monetary Allocation (% disbursement of total allocation for this reform activity as per Table 15)			100%			
2	Percentage Reduction in vacancies as proportion of sanctioned strength in ITI (measured as Percentage of			20%	20%	20%	20%

S. No.	Key Performance Indicators	Baseline	Target				
			2018-19	2019-20	2020-21	2021 -22	2022-23*
	total trainers (permanent or contract teachers) from total sanctioned posts for NCVT trades in govt. ITIs)						
	Monetary Allocation (% disbursement of total allocation for this reform activity as per Table 15)			40%	30%	15%	15%
3	Number of tracer studies conducted (One tracer study to be conducted by Year 2)	NA					
	Monetary Allocation (% disbursement of total allocation for this reform activity as per Table 15)			100%			

\*Till November 2022

The verification protocol for the KPIs, which provides the detailed definition and verification arrangements for the KPIs, is provided in Table 19.

**Table 19: KPI Verification Protocol for States**

KPI	Definition/ Description of achievement	Protocol to evaluate achievement of the KPI
1. Conducting tracer studies	A State/UT is required to conduct one tracer study (sample surveys) during the project period of ITI graduates using a methodology accepted and approved by the NPIU, which shall include that the study must: (i) be based on a representative sample of trainees in the state; (ii) have a sample size large enough to also include representation at the trade level; (iii) include both government and private ITIs; (iv) cover student background characteristics; and (v) disaggregate data based on gender, caste, location (rural/urban), education level, and household economic status. The tracer study data should be submitted in an acceptable format to the NPIU. A tracer study is considered completed if data has been submitted to the NPIU and the findings are publicly disclosed.	SPIU shall submit tracer study report and its publication details to the NPIU. The NPIU will validate the data on a sample basis.  <i>Note:</i> <i>Tracer Study Report prepared is to be submitted basis Terms of Reference shared in Section 6.5</i>

<p>2. Reducing vacancy of ITI trainers</p>	<p>The State/UT shall reduce the vacancy of ITI trainers, i.e. the share of posts filled either permanently or through contract or guest teachers employed for more than 6 months of tenure in a year of the total sanctioned posts for NCVT trades in all government ITIs within the State/UT. The sanctioned post and the posts filled would exclude the number of trainers filled for trades running under Self-financed Scheme (SFS). Indicator is met if the vacancy rate has been reduced by % mentioned in Table 16, Table 17 and Table 18 as per category of state. The SPIU shall provide information on the baseline to the NPIU in Year 1.</p> <p><b>Note:</b> About 1227 Government ITIs are covered under the scheme of ‘Upgradation of 1396 ITIs through PPP’ The eligible expenditure out of available funds with IMCs/ITIs covers salary to the contract instructors with a condition to sanction instructor post and fill up by regular instructors. It has been observed that substantial funds are available with ITIs/ IMCs. This fund could be utilized to reduce instructor vacancies in the ITIs covered under PPP scheme, if not done so far.</p>	<p>SPIU will submit data to the NPIU. The NPIU will validate the data on a sample basis.</p>
<p>3. Development of Career Progression policy for ITI trainers (based on guidelines to be issued by the MSDE)</p>	<p>The MSDE shall issue guidelines for States/UTs to develop ITI trainers’ development plans, including principles for recruitment, guidelines for training and refresher training, as well as guidelines for career progression and improvement of working conditions of trainers. This indicator is met when the State/UT develops specific trainers’ development plans based on the guidelines provided by the MSDE, which must include recruitment plan, training strategy and career progression policy for ITI trainers.</p>	<p>SPIU shall submit the policy document and proof of formal adoption of the policy to the NPIU. The document of proof must be approved by SSC.</p> <p><b>Note:</b> Refer Annexure 13: Template for Career Sustainability Plan to be submitted by States/UTs after approval by respective SSC</p>

Indicative reform activities that state may undertake as part of STRIVE are detailed in Annexure 10.

### 3.2.6. Eligible and Ineligible expenditure

A State/UT may incur expenditure on any reform activity related to the achievement of the KPIs, or any activities related to skill development. Indicative activities are such as upgradation of ITIs, improving teaching and learning within ITIs, promotion of apprenticeship in the State/UT, hiring project management consultants to augment management capabilities of SPIU, organizing innovation fairs for ITI trainees, upgrading infrastructure for Government ITIs including Women ITIs, training of trainers in industry and reputed institutes, assessment studies for identifying local area needs, and managerial training of state officials in reputed institutes among others. The project encourages engaging engineering students pursuing M. Tech / B. Tech as guest faculty.

The State/UT shall not use the funds released under this project for salaries of teaching staff. It may also be noted that cost of salaries of SPIU staff is not eligible under this result area whereas it is covered under the Government of India's contribution to the STRIVE project.

The PBFA (MoU) is attached as Annexure 12

### 3.2.7. Timelines for state reform activities under Result Area-2

**Table 20: Timelines for State reform activities**

S. No.	Type and description of Activity/document	Expected Completion Date/ Working days
1.	NPIU to share template with States/UTs for collecting baseline data of trainer vacancy	2 August 2018
2.	NPIU to share notification with all State Directorates for establishment/continuation of SPIUs	17 October 2018
3.	Preparation of draft career progression guidelines by NPIU	15 November 2018
4.	NPIU to organize consultations with stakeholders for inputs on draft career progression guidelines	10 December – 17 December 2018
5.	Approval of draft career progression guidelines by NCVT Sub-Committee Meeting	31 December 2018
6.	Collection of baseline data of trainer vacancy from States/UTs	31 December 2018
7.	NPIU to share approved career progression guidelines with States	4 January 2019
8.	Approval of Operations Manual by National Steering Committee of STRIVE	T <sub>1</sub>
9.	NPIU to share official communication with all States with approved OM	T <sub>1</sub> + 5



S. No.	Type and description of Activity/document	Expected Completion Date/ Working days
10.	NPIU to organize knowledge sensitization workshops for capacity building of State Directorate officials	T <sub>1</sub> + 20
11.	Initiation of signing PBFA with participating States/UTs	T <sub>1</sub> + 20
12.	Initiation of advance amount to be released with participating States/UTs upon signing of PBFA and meeting conditions of fund release by SPIUs such as opening of Bank Account	T <sub>1</sub> + 40
13.	Participating States/UTs to establish required institutional arrangements as per OM	T <sub>1</sub> + 100
14.	SPIUs to initiate policy reforms for reducing trainer vacancy	T <sub>1</sub> + 100
15.	SPIUs to initiate hiring of agency for conducting tracer study	As per SPIUs
16.	Concurrent monitoring of SPIUs on progress of agreed KPI milestones	Ongoing basis
17.	NPIU to release funds to SPIUs as per OM	Annual basis
18.	SPIUs to share periodic progress reports as per OM	Ongoing basis
19.	Continuous support by NPIU to SPIUs in implementation of the project	Ongoing basis
20.	Continuous support by NPIU/SPIU to IVA in verification of achieved DLIs	Ongoing basis

### 3.3. Result Area 3: Improved teaching and learning capabilities

#### 3.3.1. Overview

This section provides an implementation framework for developing TL resources, curricula development and assessment, and a roadmap for creating an ecosystem for adoption of the same under STRIVE as well as a plan to engage various agencies for usages of technology for different functions. As the result area 3 has a strong focus on introducing Information and Communication Technology (ICT) based solutions across the value chain, it is important to leverage latest technological innovations in the education sector. Technology can play a central role in most of the interventions for achieving intended outcome and maximizing the impact of interventions.

#### 3.3.2. Budget

The result area 3 has a total of INR 435 (Four Hundred Thirty Five) Crore of budget allocation. The fund will be utilized from this pool on various sub-components listed under result area 3.

#### 3.3.3. Implementation support

Implementation of the result area 3 requires dedicated focus on various sub-result areas such as examination reforms, technology interventions and institutional development. While the overall coordination remains with the NPIU, the following five directors will play key roles in implementation of the result area 3:

- Director, Projects
- Director, Central Staff Training and Research Institute (CSTARI)
- Executive Director, NIMI
- Director, TT Cell
- Director, National Skill Training Institute (NSTI)

This result area will be implemented directly by the Directorate General of Training (DGT), MSDE, under the leadership of the Director (Projects). For various sub-result areas, concept note will be prepared by NPIU/PMC in consultation with the concerned director and will be approved by the Project Steering Committee (PSC). The concerned director would be co-opted during PSC meeting.

#### 3.3.4. Implementation Plan

The implementation framework for this result area is to carry out phase wise activities in alignment with the following objectives:

- i) Improved curricula, teaching and learning materials
- ii) Capacity Building Program, introduction of Continuous Professional Development (CPD) - technology based teaching and learning material for Craft Instructors Training Scheme (CITS) program
- iii) Setting up of technology infrastructure for distance learning program
- iv) Upgradation of CFIs for Instructor Courses and Advanced Skills
- v) Reforms including examination reforms
- vi) Implementation of communication strategy
- vii) Soft Loan to Private ITI<sup>6</sup>

The five phases for implementation of this result area are:

Phase 1: Developing market driven curriculum through better industry participation

Phase 2: Designing of improved instructional materials to aid in teaching processes

Phase 3: Improving pedagogy to help teachers improve learning outcomes

Phase 4: Establishing mechanism for content delivery through various platforms

Phase 5: Revamping examination processes

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<sup>6</sup> Soft loan to private ITIs under STRIVE is mainly from GoI funding

### 3.3.5. Key activities

**Table 21: Phase wise activities plan**

	Major activities	Description	Stakeholders
<b>Phase 1: Developing market driven curriculum through better industry participation</b>			
1.1	<b>Identifying priority sectors and corresponding CTS and CITS trades to be covered under STRIVE</b>	<p>The project requires revamping of four Craftsmen Training Scheme (CTS) and CITS trades.</p> <p>The MSDE intends to upgrade two most popular trades – Electrician and Fitter-that admits more than 72% of the total students. The other two trades are Cosmetology - targeting women candidates with high self-employment potential for them and COPA targeting Divyang candidates (physically disabled). For COPA, syllabus and content will be developed for both regular and Divyang trainees. CITS, DST, and Apprentice courses related to the above four courses will also be taken up.</p>	DGT and WB, CSTARI, NIMI
1.2	<b>Developing a Curriculum Design Framework and designing a competency-based curriculum for all identified trades</b>	<p>Re-design the curriculum for the identified trades to precisely define what learners must know and be able to do (knowledge, skills and attitudes) as well as define general effective instructional practices through which the curriculum will be delivered. The re-design will involve extensive participation of industry, including a thorough scan of existing employer-led training programs around the country to establish relevance. The process will also develop a curriculum design framework for sustainable utilization in future. The curriculum will be aligned with NSQF</p>	Curriculum Designers, Subject Matter Experts, best-in-class employers relevant to the course, (DGT), CSTARI, NIMI, SSCs, ITI Trainers Associations, Industry Associations, an external agency with requisite expertise ( <i>Package 1</i> )*
1.3	<b>Developing a program/course design framework and designing course material for the selected trades</b>	<p>A course is a collection of specific time-bound learning objectives in a specific sequence in which the knowledge and skills should be addressed. While the curriculum describes the overall competencies, learning outcomes and objectives, learning experiences and assessment strategies, these gain fuller and more detailed expression at the course level. This</p>	Instructional Designers, Subject Matter Experts, best-in-class employers relevant to the course, trainers, DGT, CSTARI,

		activity will unpack the competency-level learning outcomes, objectives, learning experiences, assessment strategies etc. defined in the curriculum to develop a course.	NIMI and an external agency with requisite expertise <i>(Package 1)*</i>
<b>Phase 2 : Designing of improved instructional materials to aid in teaching processes</b>			
<b>2.1</b>	<b>Designing learning activities</b>	Learning activities describe what learners will do to engage meaningfully in their own learning. Learning activity outcomes will be setup for all courses and corresponding learning tasks for each outcome will be designed using active learning principles. Learning outcomes are a clear set of statements of what learner will be able to do by the end of an activity. The learning activity outcomes become the guide for designing one or more learning tasks for helping learners achieve the outcomes. For various courses designed in earlier steps, this step will create tasks that will give learners the best, most active learning experience possible.	Instructional Designers, Subject Matter Experts, trainers, DGT, CSTARI, NIMI and an external agency with requisite expertise <i>(Package 1)*</i>
<b>2.2</b>	<b>Development of instructional materials for students and trainers</b>	Learning tasks identified in the previous step will require a learner to engage with one or more resources and then do something with the knowledge they have gained. It is at the level of activity design that the choice of supporting teaching and learning resources is made. For the selected trades under 1.1, improved and well-designed teaching and learning materials will be developed consisting of video, interactive multimedia, and text. The instructional material will be designed with a greater focus on practical sessions and tutorials, thereby significantly aiding the instructors and student. Appropriate software tools / learning management systems to deliver the course will also be identified.	Instructional Designers, Subject Matter Experts, trainers, DGT, NIMI, external agency <i>(Package 1)*</i>
<b>2.3</b>	<b>Validation of the instructional materials for students and trainers</b>	The final instructional materials is to be validated by the stakeholders-trainers association, industry and academicians for their sector relevance as well as ease of teaching.	Trainers associations, Industry associations, academic experts, agency engaged in package 1, DGT, NIMI

2.4	<b>Identifying ITI s and NSTIs for introducing revised revamped trades in pilot mode</b>	<p>The ITIs need to adopt the revised curriculum and revised instructional material. In the pilot phase, ITI s will be selected to take up newly developed course materials.</p> <p>In the pilot phase, 10 or more ITIs and 2 NSTIs will be selected for running the trades. The selection of ITI s will be made from a pool of government and private ITI s including model ITI and skill universities. The pilot phase will provide requisite content and pedagogical training to instructors in the selected institutions to deliver the revamped trades, as well as provisioning the required tools and resources developed as part of the design process.</p>	DGT, Government ITIs, Private ITIs, NSTIs
2.5	<b>Commissioning an impact evaluation study to evaluate the impact of interventions</b>	<p>An impact evaluation study is to be conducted to assess the impact by an external agency for designing and conducting the study.</p> <p>Work readiness pilot: The study will be conducted to evaluate impact of the interventions in curricula, delivery mechanism and assessment matrix including improving soft skills of ITI trainees as well as ITI trainers.</p> <p>The final objective of the study, methodology of whether to conduct an RCT or Non-RCT study, framework to be used for the same including sampling process will be designed in alignment with the proposed interventions.</p>	DGT, External agency ( <i>Package 2</i> )*
<b>Phase 3: Improving pedagogy to help teachers for improve learning outcome</b>			
3.1	<b>Conducting Training for the Trainers of the selected ITI s for using the instructional materials</b>	<p>These trainers in ITI s and NSTIs will need significant capacity building on using the instructional materials, updated NSQF compliant courses and helping the students on using self-learning modules, practical etc.</p> <p>Training programs in blended mode comprising of various modules relevant for trainers will be conducted including NSQF compliance training as and when required during the project period.</p>	DGT, NSTIs, ITIs, NIMI,

3.2	<b>Development of technology based solution for training of teaching staff</b>	<p>To design and develop a Continuous Professional Development (CPD) ecosystem for teaching staff, principals of ITI. The activity will attempt to build a functional platform to improve teachers' classroom instruction practices. An underlying software architecture will be identified and implemented to enable such a platform that tracks teachers' profiles and learning journeys, recommends training opportunities, as well as serve as a tool to allow creation of communities for professional development of teachers. The online CPD system will be linked with the formal career development schemes of the teaching staff by allocating a defined percentage of training requirement on the online platform, encouraging them to adapt to the system. The training will be made available for both sector specific as well as 'soft skills', critical thinking etc. For the trades/occupational areas, wherever, possible, a full suite of CPD activities will be developed.</p> <p>In addition to sector specific course materials, there will be work on development of instructional materials for 'soft' skills such as information literacy, problem solving, critical thinking, entrepreneurialism, and 'learning to learn' across targeted CTS curricula and materials in blended mode. These instructional materials will not be limited only to the selected courses under this result area but can be made available to interested ITI s and other vocational training institutes across the country.</p>	DGT, States, NIMI, ITI and an external agency ( <i>Package 3</i> )*
<b>Phase 4: Establishing mechanism for content delivery through various platform</b>			
4.1	<b>Implementing IT infrastructure through Satellite Based Distance Learning Program</b>	<p>There are requirement for investment in IT infrastructure for wider coverage of distance learning programme. The STRIVE project is in process of finalizing an external agency for installation of the infrastructure in Hub- Spokes model across ATIs, ITI s etc.</p> <p>Any additional requirement such as cloud based content delivery and other communication technology may be explored for distance learning.</p>	DGT, NIMI ( <i>Package 4</i> )*

4.2	<b>Development of selected teacher training institutes into multipurpose resource centres.</b>	To introduce pre-employment teachers training programs (CITS) in selected occupational areas. The delivery of training modules will be done through blended learning programs, involving combination of distance education and face-to-face learning methods. NSTIs will be selected for developing them as multipurpose resource centres in project mode.	<i>DGT, NSTIs,</i>
<b>Phase 5: Revamping examination processes</b>			
5.1	<b>Examination reforms</b>	<p>DGT intends to not only revamp examination process for the courses selected under STRIVE project but also to bring in reforms in the overall examination system for all the courses under NCVT.</p> <p>Implementing online exams for all the courses (CTS, CITS, ATS) in 2019 onwards is one of the major reforms envisaged under DGT. Conducting online exam requires a thorough planning, engaging right agency with requisite physical infrastructure across the country and technology backbone to conduct exams for all the 134 courses in nodes, which are not located at more than 25km of radius from the respective ITIs. It also requires preparation of a pool of question bank for all courses and translation of the same in 18 Indian languages to enable the students take up online exam in the language of their choice.</p>	<p>DGT, States, ITIs, NIMI, NSTIs,</p> <p>An external agency for online exam (<b>Package 5</b>)*</p> <p>An external agency for question bank management software (<b>Package 6</b>)</p>
<i>*Different packages for external agency to do the defined work</i>			



### Additional sub-result areas under result area 3 in STRIVE

In addition to improved teaching and learning resources, there are several other activities listed out in the project document of Government of India. It includes providing soft loan to private ITI s, engaging communication agency for the project and capacity building of government staff in the project, funds from Corporate Social Responsibility (CSR) for development of curriculum in emerging technology areas.

**Table 22: Additional Activities in Result Area 3**

S. No	Major activities	Description	Stakeholders
1	Implementation of communication strategy	A communication dissemination programme is to be implemented under STRIVE project to build awareness among relevant stakeholders. The programme will aim at designing, implementing communications and dissemination strategies for large scale vocational and similar national level programme.	DGT and External agency ( <i>Package 7</i> )*
2	Soft Loan to Private ITI	Majority of the private ITIs offer training programs in two to three trades only owing to unaffordability of the costly machinery required for some of the trades. But the industry demand is high for the trades in machining areas under P&M sector, newer and emerging technology, mechatronics, robotics and other emerging areas that require high investment in machinery and equipment. This result area envisages debt funding support through interest subsidy in the form of soft loans to private ITI s. for offering such new trades or upgrading the old and worn-out equipment to provide quality training.	DGT and a selected financial institution.
3	Fund from CSR for development of curriculum in emerging technology areas	Emerging technology areas are to be identified for development of new courses. There are efforts to develop courses under Internet of Things (IOT) and Green Energy that can be developed further after conducting pilot in a few ITI. This activity is to be done in consultation with industry.	DGT, CSTARI, NIMI

S. No	Major activities	Description	Stakeholders
4	Impact Evaluation Study for Girls' incentive pilot	The impact study will pilot and test the effectiveness of different interventions to increase girls' enrolment in labour market relevant trades including introducing stipends and/or information campaigns. The study design may also include uncovering additional insights on labour market returns for girls who are part of this study. The final objective of the study, methodology of whether to conduct an RCT or Non-RCT study, framework to be used for the same including sampling process will be designed in alignment post outcome of gender study and in-sync with proposed interventions.	DGT and External agency <i>(Package 8)*</i>

*Further detailing of the respective activities will be done as and when these activities are implemented*

### 3.3.6. Schedule for engaging external agencies

**Table 23: Schedule for engaging external agencies under Result Area 3**

<b>S. No</b>	<b>Packages</b>	<b>Requirement</b>	<b>Engaging Entity</b>	<b>Timeline to engage the external agencies for different packages</b>
1	Package 1	To develop curriculum design framework, instructional materials for the selected trades	DGT	(FY19, Q4) for at least 2 courses (FY 20, Q3) for remaining 2 courses
2	Package 2	To conduct impact evaluation for work readiness pilot.	DGT	Tentative FY20, Q1 aligned with implementation of the revamped trades
3	Package 3	To develop online Continuous Professional Development (CPD) system including soft skill development	DGT	(FY20, Q4)
4	Package 4	Implementing IT infrastructure through Satellite Based Distance Learning Program	DGT	(FY19, Q4)
5	Package 5	To develop full technology solution for online examinations	DGT	(FY19, Q4)
6	Package 6	To develop questions bank management software	DGT	(FY19, Q4)
7	Package 7	To develop a communication strategy and run implement the plan for project	DGT	(FY19, Q4)
8	Package 8	Impact Evaluation Study for Girls' incentive pilot	DGT	Post Gender Study and aligned with implementation of girls incentive pilot

### 3.4. Result Area 4: Improved and broadened apprenticeship training

#### 3.4.1. Overview

Industry Apprenticeship Initiative (IAI) grant is a new initiative offering systematic support to Industry Cluster for getting involved in promoting and organizing apprenticeship training among its member firms and to assist in managing the entire gamut of the apprenticeship process which will include trade selection, identification & registering the potential apprentices on apprenticeship portal and signing of apprenticeship contracts by the designated authorities for assessment and certification apprentices.

Additionally, this result area would also focus on Research and awareness creation to examine the interest of employers in apprenticeship, Capacity Development of State/Central Government officers and Industry, setting up of State Apprenticeship Monitoring Cell (SAMC) with a mandate to support and monitor apprenticeship activities. A detailed plan regarding research in Apprenticeship area and broader capacity building for government stakeholders will be drafted separately by NPIU after consultation with stakeholders.

#### 3.4.2. Allocated Budget

Total of INR 212 crores have been allocated to this result area as detailed below:

**Table 24: Budget allocation under Result Area 4**

S. No	Description	Total Allocation (in INR crore)
1	<b>Support the strengthening of modern apprenticeship through Industry Clusters</b> <i>Note: 100 eligible industry clusters shall be supported with financial grant of up to INR 1 crore to each Industry Cluster spread over a period of 03 years.</i>	100.00
2	<b>Apprenticeship support activities</b>	112.00
	<i>Research and awareness creation</i>	10.00
	<i>Capacity Development of key stakeholders in Government and Private sectors</i>	12.50
	<i>Strengthening Apprenticeship Cells in States/UT</i>	89.50
	<b>Total</b>	<b>212.00</b>

#### 3.4.3. Eligibility criteria of Industry Clusters (ICs)

The eligibility criteria in respect of ICs to participate under IAI Grant of STRIVE Project is as below:

- Industry Cluster (IC) must be formally registered either as a ‘society’ under relevant Societies Registration Act or trust or an organization under Section 8 Company and

have the legal capacity to sign Tripartite Agreements/contracts on behalf of its members

- Minimum Number of member enterprises consenting to participate with IC for implementing IAI grant must be 20 irrespective of the size of the cluster.
- Minimum apprenticeship seats available for IAI implementation in the cluster as per the Apprenticeship Act/Norms must be 40.

### 3.4.4. Shortlisting and Selection process of Industry Clusters (ICs)

100 eligible industry clusters shall be selected through a competitive process and selection shall be done in two phases as shown below:

**Table 25: Phase wise selection of ICs**

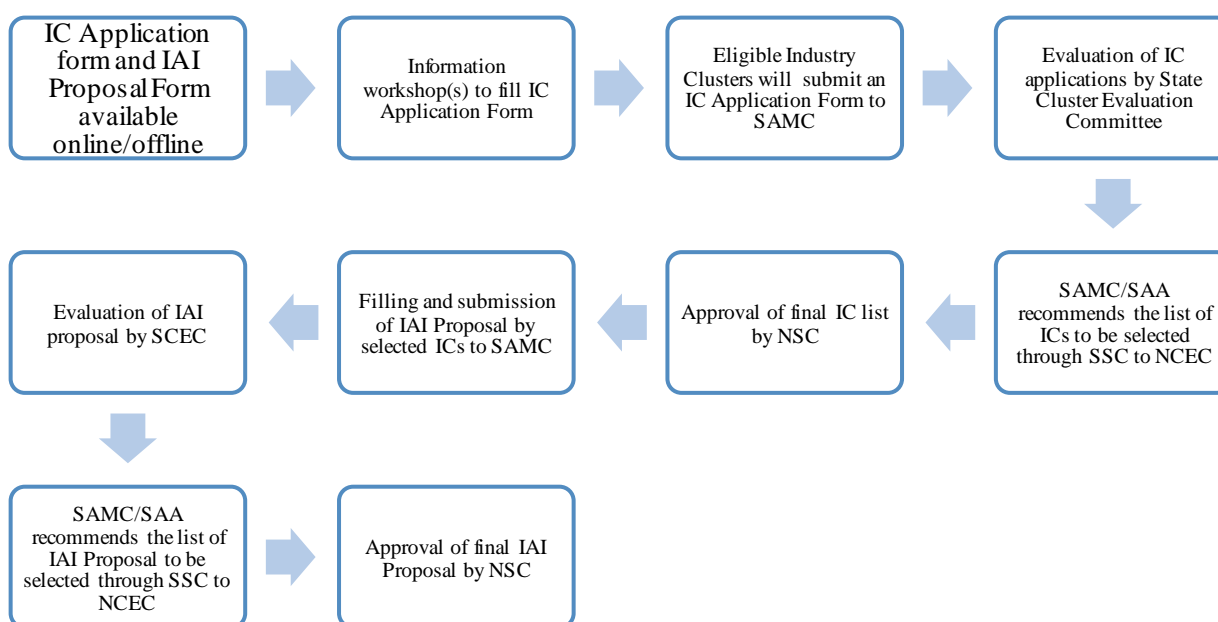
IC Selection Phases	Number of ICs
Phase-1 (Pilot Phase)	10
Phase-2	90

**Note:** Since IAI grant is a first-time initiative in India, hence a Phase-1(Pilot phase) is planned under which industry clusters shall be chosen based on nominations, as recommended by States, based on the competitive section process. Focus would be on Industry Clusters which are eager and well equipped to implement the Industry Apprenticeship Initiative (IAI) and are driven by need-based training. Based on learnings from the pilot, the Operations Manual (OM) will be modified and subsequently 90 additional clusters will be invited to participate in the Phase-2 of IAI scheme.

All eligible ICs across India shall apply to the respective SAA/ SAMC of the State concerned and as per the prescribed Performa detailed in Annexure 14.

The selection process for each phase of selection is as follows:

**Figure 6: Selection process for ICs**



States through SAMC are empowered to evaluate the IC application, IAI proposals and recommend to NPIU for approval. For this purpose, States shall constitute a State Cluster Evaluation Committee (SCEC) (as detailed in section 2.3.4) at the State level to evaluate the IC applications and IAI proposals received from the ICs situated within the State

a. Submission of IC Application and Selection Process

- i. Industry Cluster will submit the IC application form to SAMC. The IC applications will be evaluated by State Cluster Evaluation Committee (as detailed in section 2.3.4) constituted by SAMC as per the criteria given in Annexure 15. The minimum score for getting shortlisted by SAMC is 50% of the total score or as prescribed by NPIU.
- ii. The shortlisted IC applications recommended by State Cluster Evaluation Committee and approved by SSC will be evaluated by National Cluster Evaluation Committee(as detailed in section 2.2.5) constituted by NPIU
- iii. National Cluster Evaluation Committee will further scrutinize all the IC applications as recommended by SSC and the same shall be approved by NSC. Once approved by NSC, the selection decision will be communicated to ICs through SAMC.
- iv. After selection, the IC through its authorized signatory, shall enter into a 'Tripartite Grant Agreement' with the State Government and the Central Government. The aforesaid Agreement will lay down the terms of financing arrangements, the milestones to be achieved upon which the various tranches shall become payable to IC, the fund utilisation template, and any other relevant report/document related to progress of the project. The IC shall represent its partners in the IAI in all matters with the Government of India, and shall be liable for all acts and omissions in the execution of the grant agreement. The template of Tripartite Grant Agreement is depicted on Annexure 16

b. Submission of IAI proposal and Approval Process

The Selected ICs who have signed the grant agreement will be eligible for IAI submission.

- i. After signing of the aforementioned tripartite agreement, selected ICs will be given first instalment of funds. This will enable the IC to recruit initial staff for the management and formation of the Apprenticeship Implementation Cell (AIC). The AIC can conduct need assessments and other research within the cluster, liaise with IC members on their participation in apprenticeship training, identify and liaise with basic training providers, identify capacity development and training needs of the IAI participants/ partners,(Industry members of IC) and on this basis prepare a detailed IAI proposal using a standard format (Annexure 17).
- ii. The IAI proposal must be submitted by IC to SAMC not later than 60 working days after receiving the first tranche of fund. The IC, while submitting the IAI plan must include signed copies of Memorandum of Understandings (MoUs) with

partners such as – TPA/ Basic Training Provider (BTP) /members of industry cluster etc. who will be associated with IC for implementation. MoU must clearly describe the roles, responsibilities and contributions of each partner.

- iii. IAI proposal will be evaluated by State Cluster Evaluation Committee (as detailed in section 2.3.4) .The State Cluster Evaluation Committee shall use a standard relevance and feasibility scoring sheet (as detailed in Annexure 18). IAI proposal will be recommended by SAMC if it scores at least 50% of total score or as prescribed by NPIU.
- iv. If the IAI proposal submitted by the selected IC doesn't meet the satisfaction of State Cluster Evaluation Committee, ICs may be asked to modify and resubmit their IAI proposal.
- v. The shortlisted IAI proposals recommended by State Cluster Evaluation Committee and recommended by SSC will be evaluated by National Cluster Evaluation Committee(as detailed in section 2.2.5) constituted by NPIU
- vi. National Cluster Evaluation Committee will scrutinize all the IAI proposals as recommended by SSC and the same shall be approved by NSC. Once approved by NSC, the selection decision will be communicated to ICs through SAMC. The SAMC shall in turn also intimate to RDATs, SSDM, National Skill Development Mission (NSDM), and SEO, NSDC for monitoring the IAI implementation.
- vii. Approval of the IAI proposal implies that IC can go ahead and start implementation of IAI grant. An IC is required to implement a duly approved IAI proposal only, however deviation from approved IAI proposal to an extent of 30% is permissible keeping in view the progress, achievement of KPIs and to address rapid technological changes subject to approval of Governing Committee (GC) of IC concerned under intimation to SAMC/NPIU.

#### 3.4.5. Guidelines on preparing IAI Proposal

ICs should consider following pointers while preparing IAI Proposal:

- a. Duration of the IAI grant is for 3 years.
- b. The minimum age of a candidate to enrol as an apprentice is 14 years. The minimum education qualification shall be in accordance with Apprenticeship Act and as defined in the prescribed training syllabus.
- c. The IAI grant must be implemented in accordance with the Apprentices Act, 1961, and accompanying Rules and Regulations
- d. Apprenticeship programs supported under Trade apprenticeship administrated by Ministry of Skill Development & Entrepreneurship through Directorate General of Training (DGT) and NSDC will be supported. Apprenticeship programs administered by MHRD, Govt. of India will not be covered under STRIVE.
- e. IC must ensure at least 2 different apprenticeship programs within their participating member industries. An IAI shall cover minimum 2 and maximum 5 different apprenticeship program (trades) with at least 20 trainees enrolled under

each program. The trades may fall under one or more sectors, including engineering, manufacturing, service, agriculture, Information and Communication Technology (ICT), and others. IC are encouraged to take necessary actions and steps in order to enrol women apprentices.

- f. The IAI should incorporate measures to mobilize and train female apprentices and youth from Scheduled Caste (SC)/Scheduled Tribe (ST) backgrounds and weaker sections of society.
- g. The apprenticeship training programs to be conducted by ICs member firms may fall either under the category of ‘Designated Trades’ or ‘Optional Trades’. ICs can opt for apprentice training programs listed under designated or optional trade. There are 262 trades under designated trades and 230 trades already registered under optional trades having prescribed set of eligibility criteria, competency outcomes and duration of apprenticeship programme in more than 40 sectors of economy. ‘Designated Trades’ are coordinated by DGT and NSDC is coordinating the ‘Optional trade’ within Ministry of Skill Development & Entrepreneurship, Govt. of India. Broadly, majority of training requirements are covered under designated and optional trades however ICs are encouraged to develop their own specific apprenticeship training programs if existing trades doesn’t meet their requirement. Such training programs designed by industry for specific job roles/trades will also be called ‘Optional trade’ and coordinated by NSDC.
- h. List of existing optional trades and designated trades are available from <https://apprenticeshipindia.org>. This link will also help industry to design and upload apprentice training programs designed by them.
- i. The minimum duration of the apprenticeship training must be 1 year and maximum up to 2 years.
- j. Apprenticeship programs under the IAI shall be market-driven, i.e. they must provide training in trades or occupational specializations that are needed by the participating members of the cluster.
- k. Each Apprenticeship program under the IAI shall include both basic training as well as on the job/workplace training with a focus on engaging fresh apprentices; however, those programs may also be included where apprentices are exempted from basic training because they have attended ITI training or any other training that is considered equivalent to basic training.
- l. An IC can run the apprenticeship training program in accordance with the National Apprenticeship Promotion Scheme (NAPS) and avail the benefits of the scheme. However, if an IC does not wish to run the apprenticeship training program in accordance with the NAPS, they are free to do so but they will not get any benefits pertaining to NAPS.
- m. An IC may engage/avail the services of such BTPs which are approved by RDAT/NSDC and are receiving funds under NAPS for providing basic training to apprentices. However, IC may consider to pay such BTPs under STRIVE Project based on additional requirements with intimation to SAMC.



- n. IAI grant must include measures for training and capacity building for staff (supervisors and training managers) in establishment /companies that engage apprentices under the apprenticeship training program of the IAI. If required IAI may also organise and finance training cost of trainers for the staff of basic training providers for the trade under which apprenticeship programme is to be conducted. The IAI strongly focuses on the capacity building of ICs and its participating members.
- o. Under IAI, ICs in their detailed proposal will submit activities capturing capacity building programs for the member enterprises, supervisors and training managers from the cluster who will be involved in the apprenticeship training. In addition, NPIU will prepare guidelines and recommendations for such programs related to capacity building programs of ICs and member firms and extend technical assistance wherever required.
- p. Apprenticeship programs must involve a quality assurance plan and must include procedures for reporting on learning progress of apprentices i.e. maintenance of a standard logbook.
- q. The IAI should be conducted under conditions of good Occupational Health and Safety (OHS) standards, as identified for the specific industrial activity where apprentices are being hired, and ensure safety of the apprentices through provision of appropriate gear and works space safety, and the provision of required instructions and support to ensure the safety of apprentices. The IC and participating industries should also ensure appropriate waste management standards, as prescribed by existing National and State regulations for a clean and safe work environment.
- r. Apprentice Training and Quality Assurance – All apprenticeship training programs that IC plan to undertake must be endorsed by DGT/NSDC and follows the standard guidelines of Apprenticeship Amendment Act 2014 and its guidelines.
- s. Registration of Industry members of IC on the National Apprenticeship Portal: Member industry of the IC who will participate in IAI implementation mandatorily need to be registered on the National Apprenticeship Portal. IC through AIC shall be supporting its members for registration and extend required hand holding assistance in this regard.

#### 3.4.6. Key Performance Indicators (KPIs) for ICs

The progress of each selected Industry Cluster receiving IAI grant shall be measured on quarterly basis against the Key Performance Indicators as detailed below:

**Table 26: Key Performance Indicators for IC**

1	Signing of ‘Tripartite Grant Agreement’ between Government of India,(First Party) State Government (Second Party) and Industry Cluster(Third Party)
2	Capacity development of staff of participating enterprises and other stakeholders

3	Signing of apprenticeship contracts between employer/Industry and apprentices as stated in IAI proposal
4	Submission of project completion report

**Note:** KPI data will be verified through SAMC of the State concerned based on real time apprentice data from the relevant portal (DGT apprenticeship portal for designated trades and NSDC apprenticeship portal for Optional Trades).

Additionally, the disbursement of funds is linked to milestones to be achieved by the IC which are reflected under Section 4.1.3.4 and Table 27.

### 3.4.7. Eligible and Ineligible expenditure

The IAI grant funds will be used only for making eligible expenditures- the eligible and ineligible expenditures as listed below in Table 27.

**Table 27: Eligible and Ineligible Expenditure under IAI Grant**

S. No	Category/Expenditure Head	Eligible Expenditures	Ineligible Expenditure
1	<b>Apprenticeship Program Development &amp; Preparation Costs</b>	Costs related to the development and preparation of the apprenticeship program. This includes: <ul style="list-style-type: none"> <li>• Hiring of consultant or other costs to develop proposal, conduct needs assessments and curriculum development, if needed (for both the curriculum of basic training and industry-based training).</li> <li>• Costs related to the development of teaching and learning material, if needed</li> </ul>	<ul style="list-style-type: none"> <li>• Purchase of land/buildings and construction of new buildings.</li> <li>• Major civil works in the existing infrastructure</li> <li>• Purchase of laptops and other electronic gadgets including smartphones, however desktop computers required for office work is permissible.</li> </ul>
2	<b>Capacity Development Costs</b>	This includes costs for conducting training of staff in companies involved in apprenticeship training (managers, supervisors), training of AIC staff and teachers of participating basic training providers, technical workshops on IAI/apprenticeship etc.	<ul style="list-style-type: none"> <li>• Purchase of any vehicle,</li> </ul>
3	<b>Apprenticeship Training Costs</b>	The eligible expenditures to be considered for utilization of funds under Training Costs include: <ul style="list-style-type: none"> <li>• Costs for tools and other basic assets (e.g. protective clothing, helmets, work place equipment) to be used by</li> </ul>	<ul style="list-style-type: none"> <li>• Purchase of any furniture and fixture item exceeding INR 25000 per unit</li> </ul>

S. No	Category/Expenditure Head	Eligible Expenditures	Ineligible Expenditure
		apprentices while in industry-based training <ul style="list-style-type: none"> <li>• Equipment for BTP up to 10 lakhs (exception to be justified by Governing Committee of an IC and duly approved by respective SAMC)</li> <li>• Minor refurbishment and repair work of existing infrastructure in BTPs run by ICs (up to INR 5 lakhs)</li> <li>• Group Insurance for apprentices</li> <li>• Costs related to assessment and certification of apprentices in terms of Optional trade</li> <li>• Cost for transport of apprentices</li> </ul>	
4	<b>Organization and Facilitation (IC and AIC Costs):</b>	This includes costs related to the operations of an AIC in the IC. Eligible expenditure includes salaries of AIC officers and support staff communication, local tours, hoisting of a dedicated website, audit fees, office expenses, including computer, printer and projector, hiring of vehicle etc.	
5	<b>Communication and Outreach Costs</b>	This would include costs relating to attracting and inducting apprenticeship trainees into the industry led apprenticeship program. Eligible expenditure would include: workshops, advertisements, participating in job fairs, recruitment drives in schools, colleges and other as approved in the cluster proposal.	

#### 3.4.8. Apprenticeship Implementation Cell (AIC)

AIC will perform all the functions of ICs mentioned in IAI proposal submitted by industry cluster. The AIC shall be equipped with sufficient technical manpower/ staff and resources as per the specific requirement of an industry cluster to implement the IAI grant in order to provide all types of secretarial services and maintain records pertaining to utilization of IAI grant. The purpose of AIC is to support ICs to achieve its objectives in apprenticeship training. Part of the IAI grant funding can be used to finance staff and operational cost of the AIC. The selected IC must ensure that the AIC has the required office space and office equipment to carry out its activities.

- Act as the technical secretariat and implementation cell of IC facilitating needs-based, industry-led quality apprenticeship training;
- Evaluating training requirements among its members;
- Encourage member enterprises/industry to participate in engaging apprentices
- Prepare a detailed IAI Plan based on the requirements of member industries in order to obtain IAI Grant under STRIVE Project.
- Build capacity of member enterprises in the cluster to undertake apprenticeship as per the apprenticeship training plan submitted by IC;
- Identify of new Apprenticeship trades especially suitable for Women apprentices;
- Design courses (or facilitating the design) for needs-based apprenticeship if required by cluster;
- Conduct orientation and awareness seminars to popularize benefits of apprenticeship among its members and potential apprentices;
- Set up Basic training infrastructure in the cluster/Identify basic training providers (BTPs) to participate and liaise with the them to explore partnerships
- Ensure that the apprenticeship training being provided is of highest quality and in line with set benchmarks/standards;
- Train (or facilitating training of) company supervisors and staff members of the IC members
- Ensure adherence with Apprenticeship Act and Guidelines regarding Quality of apprenticeship training and delivery
- Utilize grant funds for eligible expenditure;
- Maintain necessary documentation and records of the apprentice training as per Apprenticeship Act.
- Undertake Communication Outreach activities and mobilization of prospective apprentices
- Provide support services to those apprentices who become eligible for All India Trade Test (in case of designated trades)/or assessment (in case of optional trades) on the completion of Apprenticeship Training Program.
- Promote Dual System of Training among members of IC;
- Capacity Building of training managers, supervisors, members and BTP Staff/Trainers;
- Provide support services towards assessment/certification/placement of apprentices.

AIC will be governed by the Governing Committee of IC. The selected Industry Cluster will be setting up three committees (Governing Committee, Works & Procurement and Grievance Redressal) for effective implementation of IAI grant. Composition of these committees is detailed at Annexure 19. AIC will be coordinating with stakeholders who will

be administrating IAI grant. Role of stakeholders who will be administrating the IAI implementation along with the role of IC is detailed in Annexure 5.

AIC shall coordinate with partners of industry cluster:

**Table 28: Role of AIC Partners**

S. No	Nature of AIC Partner	Role
1	<b>Members of Industry Cluster</b>	The IAI grant, for which the IC applies must involve participating members -industries/establishments/companies that have expressed their preparedness to engage apprentices. IC need to secure consent letters from its members with declaration from each member regarding their prior engagement with apprenticeship in past and how would they be contributing additionally under IAI grant. The participating members Industries/establishments/companies participating in the IAI must be mainly Micro, small and Medium Enterprises (MSMEs), in accordance with the definition for such industries under the MSME Act. All industries/establishments/companies must be formally registered. In a well-justified cases, it is also possible that industries that are not members of the IC may also become partners in the implementation of IAI grant. Industries participating in the IAI may or may not be already involved in providing apprenticeship training. The IAI emphasizes on the need to build capacities in industries to create good trainers, through sensitization of company managers, and training of trainer of shop-floor/ supervisors of apprentices. Such, capacity developmental activities and quality assurance activities are an integral part of an IAI grant utilization.
2	<b>Basic Training Provider (BTP)</b>	Each IAI must establish a partnership with BTP preferably through a MoU. This can also be achieved through forming partnerships/alliances with industries having the requisite basic training infrastructure, facilities and trainers. It may also be a Government or Private ITIs or other vocational training providers having spare capacities to provide basic training required for that particular trade. Preferably the chosen BTP be the one which stand approved by the RDAT (under which jurisdiction it falls) or NSDC. The chosen BTP(s) must undertake to provide basic training services for the quantum of trainees and duration of training as envisaged in the IAI proposal. A BTP may be replaced in case of un-satisfactory or non-performance
3	<b>Other partners</b>	Other organizations can partner with IAI, if they contribute special services or expertise essential for the successful implementation of the IAI, for example accelerators/third party agencies (TPAs). These must be registered organizations, and their specific role must be described and justified in the IC application as well as in the IAI proposal. In the case of TPAs,

S. No	Nature of AIC Partner	Role
		they should have been preferably empanelled by MSDE. ICs are also encouraged to become TPA and get empanelled under MSDE.

### 3.4.9. Prescribed Processes and Time Lines

**Table 29: Processes and Timelines for IAI grant**

S. No.	Type and description of Activity/document	Working days
1.	Release of an advertisement inviting applications <b>from Industry Cluster Organizations</b> to implement an ‘Industry Apprenticeship Initiative Grant’ under STRIVE Project on Pan India basis in Newspapers, Web Portals of MSDE, State Technical Education Departments, RDAT, MSME Industry and NCVT-MIS Portal shall display this advertisement prominently.	
2.	Submission of ‘IC application’ on ‘prescribed format’ by interested and eligible ‘Industry Cluster’ by IC to Office of SAMC of the State concerned.	20 days
3.	Completion of evaluation process of ‘IC applications’ by SCEC at the level of SAMC. State Steering Committee will forward the shortlisted applications with their assessment and recommendations to NCEC at NPIU	5 days
4.	Notification of approval from NSC to ICs through states concerned.	5 days
5.	Submission of declaration of constituting following committees within five days of selection of IC:(Please refer Annexure 19 for composition) (i) ‘Governing Committee’, (GC) (ii) ‘Goods and Works Procurement Committee’,(GWPC) (iii) ‘Apprenticeship Implementation Cell’ (AIC) to implement ‘Industry apprentice Initiative’ (IAI) grant of STRIVE project.	5 days
6.	Signing of a ‘ <u>Tripartite Grant Agreement</u> ’ on Stamp paper between MSDE, Industry Cluster and State Govt.	5 days
7.	Release of requisite funds to ICs by States in respect of having completed the signing of Tripartite Grant Agreement by IC concerned.	10 days

<b>S. No.</b>	<b>Type and description of Activity/document</b>	<b>Working days</b>
8.	Submission of Industry Apprentice Initiative (IAI) proposal along with procurement plan by the selected IC to SAMC concerned for evaluation purpose.	60 days
9.	The State Cluster Evaluation Committee to evaluate the IAI proposals submitted by ICs. The SAMC/State Apprenticeship Advisor /State Steering Committee shall forward the shortlisted applications along with their assessment and recommendations to NCEC at DGT/NPIU	5 days
10.	Notification of approval by the NSC to ICs through the States concerned.	5 days
11.	ICs can start Capacity Building activity as per its duly approved IAI proposal.	30 days
12.	ICs may start engaging apprentices once the IAI proposal has been approved and provide handholding assistance to member industry in the Signing of apprenticeship contracts between member industries/employer and apprentices and the same is to be uploaded on the apprenticeship portal.	Case Basis
13.	Submission of Annual Completion Report** by ICs to SAMCs.	Annually
14.	Release of requisite funds to ICs concerned against Percentage of apprentices who have completed their apprenticeship training subject to verification that all Utilization Certificates pertaining to previous instalments have been submitted by IC concerned	Case Basis

\*\*On the completion of 12<sup>th</sup> month from the date of tripartite agreement signing.

All days to be considered as business days in all time lines mentioned above.

## 4. FIDUCIARY SYSTEMS

### 4.1. Financial Management

Implementation of the STRIVE project follows the Program for Result (PforR) instrument. Fund disbursement from the World Bank to the Government of India (GoI) will be based on achievement of agreed results, known as Disbursement Linked Indicators (DLIs). Each DLI has multiple Disbursement Linked Results (DLRs) with financing linked to each DLR. Upon achievement of each DLR, the respective amount of funds will be disbursed by the World Bank to the Government of India.

Similarly, a set of indicators (known as Key Performance Indicators or KPIs) as well as milestone for each KPI are agreed between the Ministry of Skill Development and Entrepreneurship (MSDE) and implementing agencies (i.e. States, ITIs and ICs). Each of these milestones has a financing linked to it. Once implementing agencies achieve the milestone, they will be eligible to claim for release of the amount of funds associated to the KPI milestone.

It is pertinent to note that financial disbursements to Implementing Agencies (IAs) will be on the basis of the agreed funding linked to achievement of each KPI/ KPI milestone and not on the basis of actual expenditure incurred for achieving the KPI/ KPI milestone.

#### 4.1.1. Budgeting

The budget estimate for disbursements to be made by the GoI in each financial year will be prepared by National Project Implementation Unit (NPIU) in accordance with approved annual plans of the project implementing agencies i.e. SPIUs, Directorate General of Training (DGT) / CFIs, project ITIs, and ICs. The annual plans indicate timelines for fund flow on achievement of agreed KPIs.

To facilitate the accounting and reporting of expenditure, STRIVE will have a separate budget head in MSDE's annual detailed demand for grants. Funds would be released by MSDE to the project IAs out of the annual budget provided for STRIVE.

The states/UT governments are required to make necessary budget provisions for funds that may be required to achieve KPIs and KPI milestones. Moreover, state /UT government are advised to have a budget head separately for STRIVE in their annual demand for grants during the project period.

#### 4.1.2. Fund Flow and Disbursement

##### **Fund Flow Protocol**

The fund flow for the 4 result areas in STRIVE is illustrated in Figure 7 Funds will flow to approximately 640 IAs - including 36 States/UTs, 500 ITIs, 100 ICs and CFIs – for achieving KPIs and the corresponding milestones.

##### i. Results Area 1:

Upon verification of the achievement of KPI milestone and subsequent to meeting conditions for release as mentioned in Section 4.1.3, the NPIU will transfer the



respective quantum of funds to the State government (Treasury) from where it would be transferred to the State society account. Further, the SPIU will transfer the amount to the selected Industrial Training Institute's (ITI's) Institute Management Committee (IMC) (or equivalent body) account. (Table 11).

ii. Results Area 2:

Upon verification of the achievement of KPI milestone and subsequent to meeting conditions for release as mentioned in Section 4.1.3, the NPIU will transfer funds to the respective state government (Treasury) once every year. Subsequently, the State treasury will transfer the funds to State Society account. (Table 16, Table 17 & Table 18)

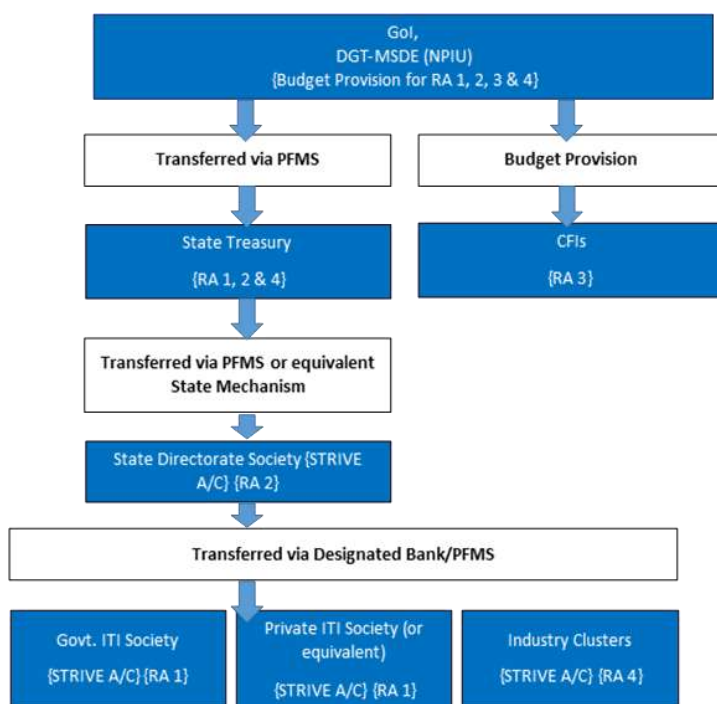
iii. Results Area 3:

The NPIU will consult with central institutes and keep a budget provision for achieving various KPI milestones as per approved implementation plans. NPIU and central institutes will utilize the budget during the financial year to achieve agreed KPI milestones.

iv. Results Area 4:

Upon verification of the achievement of KPI milestone and subsequent to meeting conditions for release as mentioned in Section 4.1.3, NPIU will transfer funds to the respective state government (Treasury) from where it would be transferred to the State society account. Further on, the SPIU will transfer the amount to the selected Industry Cluster's (IC) society (or equivalent body) account.

**Figure 7 Fund Flow For STRIVE**



#### 4.1.3. Conditions for release of funds

This section lays down the general and result area specific conditions for release of funds to implementing agencies across all four result areas.

a. Signing of PBGA/PBFA/Tri-Partite Agreement

The implementing agencies are required to sign performance based grant/funding agreement with Central and/or State Government, as applicable, to participate under STRIVE project.

b. Establishing institutional arrangements as per PBGA/PBFA/Tri-Partite Agreement

Upon signing the agreement, the implementing agencies need to establish institutional arrangements as per the respective agreement.

c. Forming Society by public IAs and Society or equivalent by private IAs

It is mandatory for participating States to operate via a Society<sup>7</sup> (referred to as “Society”) within the administrative control of the State Directorate of Employment & Training, or department concerned, for implementing the STRIVE project. The selected government ITIs are also required to operate via Society for STRIVE.

Similarly, the selected private ITIs and ICs are required to operate via a Society (or equivalent such as Section 8 company or Trust for STRIVE.

d. Opening of dedicated bank<sup>8</sup> account for STRIVE

Implementing agencies will open a dedicated bank account for all fund flows related to the STRIVE project. Funds will flow from the State Treasury to the dedicated account of the State Society. SPIU will give directives to the Society for transfer of funds from the STRIVE Bank account to respective implementing agencies in the state. The SPIU would nominate specific person(s) in its Finance Unit (refer Annexure 2) who would be authorized to operate the STRIVE Bank Account.

e. Engaging dedicated qualified accountant(s)

All the implementing agencies need to have dedicated qualified accountant to manage project accounts.

**Note:**

To ensure that there is no delay in release of funds from State Treasury to respective State Skill Societies, the time frame should not be more than 10 days for transfer of such funds and same would be clearly mandated in the Fund Transfer Advice/Sanction Order from NPIU.

**Usage of single public sector banking entity**

In order to have a transparent and robust monitoring mechanism, a single banking entity (Public Sector Bank) will be identified by NPIU. All project IAs are required to have a bank account, dedicated only for implementing the STRIVE project, in the selected Public Sector bank. Such a proposal will enable the NPIU to monitor STRIVE accounts of IAs across the

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<sup>7</sup> under relevant Societies Registration Act

<sup>8</sup> A single public sector Banking entity will be notified by NPIU,DGT,MSDE to all implementing agencies via separate notification

project through an online dashboard provided by the bank. A similar dashboard for monitoring flow of funds and utilization of funds will also be provided to SPIUs - for transferring funds to government and private ITIs and ICs in their States.

### **Funds to flow only through project account**

All possible fund in-flows and out-flows related to the STRIVE project will be through the project account only, irrespective of the source or destination of the funds. Cash inflows in the STRIVE project account may include:

- Funds released by the NPIU through State treasury solely for the eligible expenditures under STRIVE
- Interest if any accrued from Project Account.

Cash outflow from project account may include:

- Eligible expenditures specified in these guidelines.

### **Change of Project Account**

It is not advisable to change the project account. However, in certain circumstances, on a case by case basis, project accounts may be changed with prior approval of the NPIU. Detailed reasons for changing the project account must be submitted to the NPIU, along with a request for approval for changing the project bank account. Upon obtaining approvals from the NPIU, the implementing agency shall open the new project account in the designated Bank empanelled to manage STRIVE project accounts and communicate the details of the new project account to NPIU. In this context, the project IA, whose bank account has changed, must ensure that the unspent project funds are correctly transferred to the new project account. The previous project account should be deactivated and removed from all the documents.

Result area wise specific conditions for release of funds are as follows:

#### *4.1.3.1. Result Area 1 - Improved Performance of ITI*

The following are the conditions and principles for release of funds to Project ITIs:

- i. The first tranche in form of advance shall be released to the project ITIs on signing of the PBGA in accordance with Table 11.
- ii. The release of further tranche of funds will be done on an annual basis on meeting targets as agreed in PBGA (Annexure 8).
- iii. Funds will be released directly to the account of the State Society (Project Account) through State Treasury. The State Society, on directive of SPIU, will further release funds to ITI IMC's Society (or equivalent) project bank account.
- iv. Funds shall be released only on achievement of the annual targets. If the target has not been met, funds allocated for the target shall not be released even if expenditure has been incurred towards the target.

- v. In addition to achievement of annual targets, the funds would flow as per following table on meeting the utilization of funds released till date:

**Table 30: Fund Allocation and Fund Release Criteria for ITIs**

Year	Fund to be released in the year as % of total allocated fund	Fund Release criteria
0	40%	- ( Signing of PBGA)
1	18% to be disbursed at the end of Year 1 based on KPIs achieved for Year 1	Minimum utilization of 50% of total funds released till date
2	17% to be disbursed at the end of Year 2 based on KPIs achieved for Year 2	Minimum utilization of 65% of total funds released till date
3	15% to be disbursed at the end of Year 3 based on KPIs achieved for Year 3	Minimum utilization of 80% of total funds released till date
4	10% to be disbursed at the end of Year 4 based on KPIs achieved for Year 4	Minimum utilization of 95% of total funds released till date

- vi. Along with evidence, that the target has been met, the project ITI must also provide utilization certificates to show that the earlier grants have been expended as per preceding sub-clause (v). If expenditure up to such amount has not been incurred, the ITI will be entitled to receive only the amount equal to the expenditure, even though its target has been met. The remaining amount may be claimed the following year, if proof of expenditure is available. For the purpose of this condition, expenditure may be made on any of the items mentioned in the Eligible Expenditure section 3.1.7 of these guidelines.
- vii. Upon meeting the aforementioned physical targets and financial utilization criteria, the ITI shall submit following for subsequent release of funds:

Utilization Certificate (UC): The utilization certificate showing funds expended against all previous instalments released till date is required to be submitted to respective SPIU prior to release of each instalment as a condition for release.

Performance-cum-Achievement Report: Along with utilization certificate, ITI needs to submit a Performance-cum-Achievement report showing the KPI targets vis-à-vis the achievements to respective SPIU. The template of the Performance-cum-Achievement Report is enclosed under Annexure 20A of this Manual. Additionally, as detailed in Section 3.1.7, ITI should also share information regarding purchase of equipment not under standard tool list of NCVT or NSQF compliant courses.

Unaudited financial statements: ITI needs to submit unaudited financial statements for the immediately preceding quarter.

Statutory Audit Report: ITI needs to submit statutory audit report of last financial year to SPIU.

Release of subsequent funds against the aforementioned UC would depend on whether the ITI has expended the previous instalments as per Table 30. For the purpose of this condition, expenditure mentioned as eligible expenditure under Table 12 and Table 13 of these guidelines shall only be considered.

*4.1.3.2. Result Area 2 - Increased capacities of state governments to support ITI & apprenticeship*

The following are the conditions and principles for release of funds to State Societies:

- i. The first tranche in form of advance shall be released to the State/UT on signing of the PBFA in accordance with Table 15.
- ii. Release of funds will be done on an annual basis on meeting targets as agreed in Memorandum of Understanding (MoU) (Refer Annexure 12).
- iii. Funds will be released directly to the account of the State Society (Project Account) through State treasury.
- iv. Funds shall be released only on achievement of the annual targets. If the target has not been met, funds allocated for the target shall not be released even if expenditure has been incurred towards the target.
- v. KPIs will be verified as per verification protocol defined in Table 19
- vi. In addition to achievement of annual targets, the funds would flow as per following table on meeting the utilization of funds released till date:

**Table 31: Fund Allocation and Fund Release Criteria for States**

Year	Fund to be released in the year as % of total allocated fund	Fund Release Criteria
0	30%	signing of PBFA
1	Funds as on achievement of KPIs as per category of state	Utilization of 50% of total funds released till date
2		Utilization of 70% of total funds released till last year
3		Utilization of 85% of total funds released till last year
4		Utilization of 95% of total funds released till last year

- vii. Along with evidence (as per Table 19) that the target has been met, the SPIU must also provide utilization certificates to show that the earlier grants have been expended as per preceding sub-clause (vi). If expenditure up to such amount has not been incurred, the State/UT will be entitled to receive only the amount equal to the expenditure, even though its target has been met. The remaining amount may

be claimed the following year, if proof of expenditure is available. For the purpose of this condition, expenditure may be made on any of the items mentioned in the Eligible Expenditure in Section 3.2.6 of these guidelines.

- viii. Upon meeting the aforementioned physical targets and fund utilization criteria, the States shall submit following for subsequent release of funds:

Utilization Certificate: The utilization certificate is required to be submitted prior to release of each instalment as a condition for release to NPIU. The funds shall be released to the states/UTs in yearly manner upon meeting physical and financial pre-release criterion as stated in the guideline.

Performance-cum-Achievement Report: Along with utilization certificate, SPIU needs to submit a Performance-cum-Achievement report showing the KPI targets vis-à-vis the achievements. The template of the Performance-cum-Achievement Report is enclosed under Annexure 20B of this Manual.

Unaudited financial statements: SPIU needs to submit unaudited financial statements for the immediately preceding quarter.

Minutes of the meeting(s) of the Audit Committee<sup>9</sup>: SPIU needs to establish Audit Committee and submit Minutes of all the Audit Committee meeting(s) held since release of preceding tranche of funds. The minutes should document the findings and action taken against the observations of the internal auditors.

Statutory Audit Report: SPIU needs to submit statutory audit report of last financial year to NPIU.

#### *4.1.3.3. Result Area 3 – Improved Teaching and Learning*

A list of proposed activities to be carried out under Result Area 3 is annexed at Annexure 21. The funds will be utilized as per approved implementation plan of each such activity. Implementing Centrally Funded Institute(s) (CFIs) and NPIU will provide Utilization Certificates showing amount expended till date before release of subsequent instalments.

#### *4.1.3.4. Result Area 4 - Improved and broadened Apprenticeship Training*

The following are the conditions and principles for release of funds to Industry Clusters:

- i. The first tranche in form of advance shall be released to the ICs on signing of the Tri-Partite Agreement. (Refer Annexure 16).
- ii. Release of funds will be done on meeting targets as agreed in Tri-Partite Agreement
- iii. Funds will be released directly to the account of the State Society (Project Account) through State treasury. The State Society, on directive of SAMC, will further release funds to IC's Society (or equivalent) project bank account.

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<sup>9</sup> Composition, roles and responsibilities of such audit committees will be finalized by SPIUs with approval of State Steering Committees.

- iv. Funds shall be released only on achievement of targets as specified in IAI plan. If the target has not been met, funds allocated for the target shall not be released even if expenditure has been incurred towards the target.
- v. KPI verification will be done by SAMC through monitoring and quality assurance checks as per the defined roles and functions in the Section 2.3.3.2 basis Table 26 in Section 3.4.6.
- vi. In addition to achievement of targets as specified in IAI plan, the funds would flow as per following table on meeting the utilization of funds released till date:

**Table 32: Fund Allocation and Fund Release Criteria for ICs**

Milestone	Fund to be released in the milestone as % of total allocated fund	Fund Release Criteria
1	40%	Signing of Tri-Partite Agreement
2	20%	Minimum utilization of 50% of funds released in Milestone 1
3	30%	100% utilization of funds at milestone 1 and minimum 25% of funds utilised in milestone 2
4	10%	A minimum of 50% of planned apprentices must be either engaged in apprenticeship training or, have appeared for the trade test

- vii. Along with evidence that the target has been met, the IC must also provide utilization certificates to show that the earlier grants have been expended as per preceding sub-clause (vi). If expenditure up to such amount has not been incurred, the IC will be entitled to receive only the amount equal to the expenditure, even though its target has been met. The remaining amount may be claimed the following year, if proof of expenditure is available. For the purpose of this condition, expenditure may be made on any of the items mentioned in the Eligible Expenditure section 3.4.7 of these guidelines.
- viii. Upon meeting the aforementioned physical targets and fund utilization criteria, the ICs shall submit following for subsequent release of funds:

**Utilization Certificate:** The utilization certificate showing funds expended against all previous instalments released till date is required to be submitted to respective SPIU prior to release of each instalment as a condition for release.

**Performance-cum-Achievement Report:** Along with utilization certificate, ICs need to submit a Performance-cum-Achievement report showing the KPI targets vis-à-vis the achievements to respective SPIU. The template of the Performance-cum-Achievement Report is enclosed under Annexure 20C of this Manual.

Unaudited financial statements: IC needs to submit unaudited financial statements for the immediately preceding quarter.

Statutory Audit Report: IC needs to submit statutory audit report of last financial year to SPIU.

#### 4.1.4. Financial & Accounting Systems

##### 4.1.4.1. *Financial & Accounting Systems at NPIU and CFIs*

The accounting systems of DGT and the CFIs follow the financial management structure and practices followed by the Government of India. In the expenditure, transfer and management of funds for STRIVE, use of PFMS as a tool is required for central schemes at NPIU and CFIs.

#### **a) Financial Management for the Technical Assistance and Technical Support**

STRIVE has provision of a World Bank funded Technical Assistance (TA) Component to compliment the project, and GoI funded Technical Support (TS) to supplement the TA. The details of activities financed under these are in Table 33 of Section 4.2.1.

#### **b) Internal & External Audit**

The Internal Audit of the Government of India funded Technical Support (TS) component will be conducted by the Internal Audit Unit on a semi-annual basis. The Chief Controller of Accounts heads the Internal Audit unit.

The Annual Financial Statements of the TS Component will be audited by the Comptroller and Auditor General (CAG).

#### **c) Accounting and reporting procedures**

The Pay and Accounts office under the auspices of the Principal Accounts Officer will be responsible for expenditure and maintenance of records.

#### **d) Reporting – Interim and Annual**

The NPIU, DGT, MSDE will be responsible for submission of quarterly interim unaudited financial reports (IUFR) (Refer Annexure 24). This report will be submitted to the World Bank no later than 45 days after end of each quarter. This is required for the purpose of reimbursement of expenditure incurred under TA component financed utilising The World Bank funds as per financing agreement signed between The World Bank and GoI.

##### 4.1.4.2. *Financial & Accounting Systems at State Societies/ Project ITIs/ Project ICs*

State Societies are required to maintain separate books of accounts for STRIVE project. Project ITIs and ICs are required to maintain separate books of accounts and prepare annual financial statements as laid down in their by-laws.



As part of the project design and clearly indicated in the Operations Manual, certain financial management strengthening measures have been considered. These include actions to strengthen capacity and systems at state and ITI levels / ICs along with following measures:

1. Using a Single Banking Entity (a public sector bank) across all implementing agencies (refer Section 4.2.2)
2. Minimum eligibility conditions that ITIs/State Directorates must meet to access Project funds, include satisfactory audits and compliance with financial reporting requirements.
3. The implementation arrangement includes provision of accounts staff to enhance financial management and putting in place acceptable internal audit arrangements at the State Level.

**a) Maintenance of Asset Register**

All implementing agencies with a provision to purchase equipment under STRIVE must maintain an Asset Register which provides details of

- Type of Asset/Equipment
- The purchase cost thereof
- Date of purchase
- Location of that Asset within the Beneficiary
- Purchase details like invoice number
- Depreciation and
- Deduction/Sold with date

Refer Annexure 22 – Format of Asset Register.

**b) Upkeep of Records**

All the documents relating to the project, financial and others, shall have to be kept in proper condition by the Private ITIs / ICs for verification up to a minimum period of 5 years from the closure of the project. SPIU/SAMC would maintain record of UCs submitted by Private ITIs/ICs for a period of 5 years. For Government ITIs such records must be retained as per individual State Policy on “Upkeep of Records”.

**c) Imprest management**

Refer Annexure 23 for details on Imprest Management

#### 4.1.5. Financial Reporting

Reporting is one of the essential activities of financial management under STRIVE through which the fund utilization vis-a-vis achievement of performance is reported. A separate budget head for the STRIVE project would facilitate tracking releases to States/UTs and other project implementing agencies.

On account of the PFMS/Designated Bank interface, the Bank Dashboard would be able to consolidate data of flow of funds at all levels across various implementing agencies. The expenditures of implementing agencies level would also be captured at the Bank Portal. This data captured and collated through the Bank Portal would allow the “monitoring” of the status of STRIVE funds at all levels as well as expenditures made at all levels.

For the STRIVE Project, the national level portal would provide data on related project’s physical achievements. Till such arrangements are functional, as an alternative, compilation of data on physical achievement and financial progress would be done by NPIU through respective SPIUs.

Expenditure data from IA would be cumulated at SPIU level on a monthly basis along with Fund Reconciliation Statement before submitting the same to NPIU. The reporting methodology for same is detailed below:

- SPIUs will report cumulative Expenditure Data and unspent fund data on a Result Area-Wise and Implementing Agency wise to NPIU. Such data shared would be corroborated by the Bank Portal through view access provided to NPIU and SPIU.
- SPIU would submit consolidated Utilization Certificates of all IAs in the respective State within 30 days of receipt from these IAs.

### **Utilization Certificates**

SPIUs should submit Utilization Certificates to NPIU in the format as per Annexure 25A for the expenditure incurred while submitting proposals for release of subsequent instalment of funds. The UC should be countersigned by authority as per Rule 239 of GFR 2017, or as amended from time to time. In addition, State Governments/UTs and the Ministry may conduct inspections to ascertain the progress of implementation of the project before release of subsequent instalment of funds. The related reports/photographs may also be submitted along with the proposals for release of funds. The release of funds should be linked to physical targets achieved in the implementation of the project as stated in the relevant sections of result areas in this Manual. For other IAs, the Utilization Certificate would be manually provided as per format in Annexure 25B.

The consolidated UC of all Industry Clusters under the project within the State shall be submitted by SAMC/ State government as per the format under Annexure 25B of these guidelines along with the annual Audited Financial Statements to NPIU for record. This Utilization Certificate shall include the consolidated amount of funds received during the year, funds utilized during the year and unutilized funds if any remaining as on date. The Utilization Certificate shall be supported with an auditor certificate certifying the correctness of the details provided in the certificate. This certificate shall be issued by the Internal Auditor doing the internal audit of individual industry clusters. Internal Audit will be conducted bi-annually. It may be noted that subsequent releases of funds shall be preceded invariably by submission of UC of previous instalment.

### **Annual Financial Statements**

The Project Annual Financial Statements will be prepared by all the implementing agencies. Such Financial Statements should include:

- A summary of funds received Result Area-wise
- A summary of expenditures shown under the project result areas/ activities/ headings and by categories of expenditures, both for the current fiscal year and accumulated to date; and
- A Balance Sheet showing Accumulated Funds of the Project, bank balances, other assets of the project, and liabilities, if any. If any IA under the project can not maintain a Balance Sheet on account of its existing accounting system, the Project Financial Statements of such IA should include in the form of a statement (apart from above Summary of Expenditures) at the end of every financial year (a) unspent bank balance of the project (b) category-wise assets purchased by the beneficiary from project funds with date of such purchase along with its location (c) project related unpaid bills/liabilities as at year end (Refer Annexure 26)

As an annex to the Project Financial Statements, the auditor should audit a reconciliation statement (prepared by the State Societies) between the amounts shown as "received by the State Society from GoI" and that shown as being disbursed by the State Society to project ITIs/ICs in the state.

The Annual Financial Statements would be prepared by the finance unit/ accounts officer of each IA as a part of their normal accounting and financial reporting process.

#### 4.1.6. Controls & Audit

The STRIVE project envisages fund disbursement across more than 640 implementing agencies spread over 36 States and UTs, with around 200 private sector IAs. Such a widely dispersed funding structure poses several risks which have been mitigated through

- (a) Formation of Audit Committees<sup>10</sup> in State Directorates
- (b) Hiring of Internal Auditor<sup>11</sup> by the respective State Societies
- (c) Use of PFMS system for fund transfer to NPIU, CFIs and State Government
- (d) Opening of STRIVE Bank account in single bank across all the implementing agencies with facility real time monitoring by NPIU and SPIUs
- (e) Engaging dedicated qualified accountant(s)
- (f) Other controls and measures as stated herein and
- (g) Specific financial control measures undertaken during project implementation based on reports, analysis and deliberations.

### **I. Specific Audit requirements**

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<sup>10</sup> Composition, roles and responsibilities of such audit committees will be finalized by SPIUs with approval of State Steering Committees.

<sup>11</sup> Refer indicative ToRs in Section 6.3

i. Internal Audit

As one of mitigation measure to minimize financial risks, the Project design envisages engagement of chartered accountant firm(s) at the state level by State Directorate to conduct integrated procurement and financial management of internal audits on a six-monthly basis. The audits will cover all project ITIs and ICs and will be conducted according to the draft agreed terms of reference (ToR) documented in Section 6.3.

The audit reports of internal auditor will be shared with State Audit Committee with a copy to SPIU. The internal auditor engaged at State Directorate is required to submit a declaration on their non-engagement as external auditor/statutory auditor with other implementing agencies in the State to SPIU.

ii. External/CAG Audit

The annual audit for the DGT and the State Societies will be conducted by the CAG Office according to the ToR as provided in Section 6.4.

A Statutory Auditor, which is a Chartered Accounting Firm, empaneled with CAG, would be in place at each State Directorate as per state specific regulations. The ToR for such auditor need to be in the same lines as in Section 6.4 suitably modified for a Chartered Accounting Firm.

The audited financial statements and audit report for the last financial year will be uploaded on the State Directorate and project website within six months of the close of the year.

iii. Statutory Audit

A Statutory Auditor, that being a CAG empanelled Chartered Accounting Firm, would be required at each State Directorate and ITI/IC as per under relevant Societies Registration Act

iv. Audit Committee:

An Audit Committee would be set up at each State Directorate to review the audit reports and ensure compliance with the internal auditors' recommendations. Composition of such audit committee may be defined by respective State Directorates under guidance of respective State Steering Committee. Each SPIU needs to submit the minutes of meeting of Audit Committee to NPIU within 30 days of finalization of minutes.

v. Independence specific to Auditors

The auditors appointed by IAs should be independent and free from any economic, financial and other relationships with the Appointing Entity (Industry Cluster/ITI /State Society). The auditors are also required to be free from having any role in the project implementation. The Statutory Auditor and Internal Auditor are required to be different firms.

The following relationships, though not exhaustive, would be considered as threats to independence to auditor:-

Auditor, its partner or associate could benefit from financial interest in the project or Industry Cluster or any Member of the Appointing Entity such as:

- (a) Direct financial interest or materially significant indirect financial interest
- (b) Undue dependence on the operation of Appointing Entity or any Member of the Appointing Entity
- (c) Close business relationship with the Appointing Entity or any Member of the Appointing Entity
- (d) Potential employment with Appointing Entity or any Member of the Appointing Entity
- (e) Contingent fees for the audit engagement
- (f) Any other relationship with Appointing Entity or any Member of the Industry Cluster/ITI that may influence the audit opinion.

Review of any judgement or conclusion reached in a previous audit or non-audit engagement or when a member of the audit team was previously an employee of the Appointing Entity or any Member of the Appointing Entity, e.g. (i) when an auditor was recently (two years) a director or senior employee of the Appointing Entity or any Member of the Appointing Entity, (ii) when auditor performs services that are themselves subject matters of audit.

Auditor promotes or is perceived to promote, a client's opinion to a point where people may believe that objectivity is getting compromised, e.g. when the auditor is advocate of Appointing Entity or any Member of the Appointing Entity in litigation or third-party disputes

Familiarity of auditor with Appointing Entity or any Member of the Appointing Entity (i) close relative of the audit team working in a senior position in Appointing Entity or any Member of the Appointing Entity (ii) former partner of the audit firm being a director or senior employee with Appointing Entity or any Member of the Appointing Entity (iii) more than 5 years of association as an auditor with Appointing Entity or as auditor to any Members of the Appointing Entity (iv) acceptance of significant gifts or hospitality from Appointing Entity or any Member of the Appointing Entity, its directors or employees.

The auditor needs to verify in accordance to his/her professional judgement if there is any perceived risk to his independence and must provide a written declaration on the same before appointment as auditor.

vi. Audit/Inspection by NPIU, DGT, MSDE or any other agency

NPIU, DGT, MSDE and SPIUs shall have the right to conduct audit/inspection of Industry Clusters/ Private ITIs as and when required either on its own or through any agency appointed by it for such purpose, giving prior a notice of not less than 15 days. The Industry Clusters/Private ITIs shall provide all necessary support and co-operation for such audits/inspections.

## **II. Tracking of Assets created in STRIVE**

All IAs under STRIVE project are required to furnish Statement of Assets for assets created out of STRIVE funds. NPIU/SPIU will be authorized to conduct surprise physical verification of such assets created with reference to Statement of Assets/Asset Register (Annexure 22).

### **III. Depreciation & Amortization**

Depreciation and amortization shall be charged as per the rates specified by the Income Tax Act, 2018 as amended from time to time. The accounting of depreciation and amortization of assets purchased/developed from grant funds shall be as per applicable accounting standard issued by Institute of Chartered Accountants of India (ICAI). (Refer Annexure 27 - Protocol for assets purchased/developed out of Grant Funds)

#### **4.1.7. Financial Monitoring**

Monitoring of expenditure under the project will be essentially at two levels:

- At the SPIU level
- At the NPIU level

The Financial Monitoring Reports (FMR) would be derived from the following

- (i) From IAs through Utilization Certificates (refer Section 4.1.4 and Annexure 25A and Annexure 25B)
- (ii) Internal auditor's comments (Refer Section 6.3)
- (iii) External/Statutory auditors audit observations (Refer Section 6.4)
- (iv) Minutes of Meetings of State Audit Committees
- (v) Linking Budgets and Expenditure with national level portal for tracking physical with financial progress (Refer Section 4.1.3)
- (vi) Financial Monitoring and Reporting from SPIUs to NPIU – (Project Monitoring - Expenditure and other data reporting and reconciliation process facilitating fund flow – Refer Annexure 28)

Based on current available data in the STRIVE project result areas and sub-result areas, a draft Statement of Expenditure template is provided as a reporting format in Annexure 28.

#### **4.1.8. Financial Guidelines for SAMC**

- SAMC will ensure that ICs maintain regular books of account and records
- SAMC must ensure proper utilization of the fund through submission of utilization certificate by ICs in the prescribed format (Annexure 25B) as per General Financial Rules (GFR) 2017
- Efforts should be made for fund utilization that is linked with physical targets / activities that are to be accomplished in a given time.

- NPIU may conduct inspections to ascertain the progress of implementation of the project.
- In case of fund not released to the State in a particular year, the funds may be released by NPIU retroactively based on the justifications offered by the State Government.
- Unspent balances will be duly considered before release of subsequent release of funds.

The audit will be carried out in accordance with the standards of audit of the Comptroller and Auditor General of India, and will include such tests and controls as the auditor considers necessary under the circumstances.

#### 4.1.9. Project Closure and its financial implications

The project shall be considered for closure in case:

- i. The Project is successfully completed its Disbursement linked indicator and Intermediate Result Indicators or
- ii. The Project is foreclosed either by DGT/World Bank or
- iii. In case of liquidation (applicable in the case of Private ITI);

The closure of the Project closure will take effect upon issuance of a certificate of closure (the “Project Closure Certificate”) to the SPIU by DGT/NPIU followed by to the ITIs by the SPIUs. The Project Closure Certificate will be issued only upon acceptance of closure Utilization Certificate, and closure audited financial statements by NPIU and upon receipt of unutilized amount if any by DGT/NPIU. Prior to the closure, a notice for closure (the “Notice of Project Closure”) shall be issued by DGT/NPIU to SPIUs followed by to the ITIs by the SPIUs. Upon issuance of Notice of Project Closure, closure audit will be conducted by the Annual Auditor as mentioned below for finalization of Closure Utilization Certificate and Closure audited financial statements.

#### **I. Closure Audit of ITIs/ICs**

The closure audit shall be the audit to be conducted to close the books of accounts related to the Project and to conduct audit for the unaudited period till the date of Project closure. Closure Audit would be conducted by the State Audit unit

The scope of closure audit shall include but not limited to the following activities:

- i. Conducting closure audit for finalizing the books of accounts including closure financial statements
- ii. Issuing a certificate certifying the correctness of closure utilization certificate,
- iii. Reconcile the amount of expenditure against the eligible expenditures and arrive at the unutilized amount if any.

The closure audit shall be required to be completed and the closure audited financial statements along with Project closure audit report shall be submitted to NPIU within 90 to 180 days from the date of receipt of Notice of Project Closure by the SPIU from DGT.

## **II. Closure Audit of ICs under the Industry Apprenticeship Initiative (IAI) Grant Mechanism**

The closure audit shall be the audit to be conducted to close the books of accounts related to the project and to conduct audit for the unaudited period till the date of closure of IAI Grant Mechanism. It would be conducted by the Annual Auditor appointed by the State Apprenticeship Promotion Cell.

The scope of closure audit shall include but not limited to the following activities:

- i. Conducting closure audit for finalizing the books of accounts including closure financial statements
- ii. Issuing a certificate certifying the correctness of closure utilization certificate,
- iii. Reconcile the amount of expenditure against the eligible expenditures and arrive at the unutilized amount if any.
- iv. To verify to what extent the Project has achieved is physical and financial targets

## **III. Closure Reporting of ITIs**

For the purpose of closure, the ITIs need to submit the following documents:

### **(a) Closure Utilization Certificates**

In case of closure of the project, the ITIs needs to submit a closure Utilization Certificate as per the format under Annexure 29 to the SPIU as on date of closure showing the utilization of funds received till date. Based on the Closure Utilization Certificates received from ITIs. Any unutilized amount with ITIs as on the date of closure shall have to be returned to DGT. The SPIU shall send the Closure Utilization Certificates received from ITIs, to DGT/NPIU within 30 days from date of receipt of Notice of Project Closure by the SPIU from DGT/NPIU.

### **(b) Auditor Certificate**

The ITIs need to submit the auditor certificate certifying the correctness of the details provided in the Utilization Certificate. This certificate shall be issued by the auditor doing the closure audit.

### **(c) Closure Financial Statements**

ITIs are required to submit audited financial statements which will show the position of funds received and expenditure incurred under this project as on the date of closure and during the unaudited period between last audited Annual Financial Statements and date of closure. The audited financial statements need to be submitted to SPIU by ITIs and the SPIU shall forward the same to the NPIU. The closure audited financial statements along with closure audit report shall be received by NPIU within 45 days from the date of receipt of Notice of Project Closure by the SPIU from DGT/NPIU.



The closure financial statements should include (for those Implementing agencies that follow a Double Entry System of accounting)

- i. Statement of receipt & expenditure under the project which shall include-
  - a. Summary of funds received during the unaudited period
  - b. Income by way of interest etc.
  - c. Summary of expenditures under project result areas/activities during the unaudited period
  - d. Any other details as required
- ii. Balance Sheet showing-
  - a. Accumulated receipt of funds under the project up to date
  - b. Block wise assets generated
  - c. Project liabilities
  - d. ITI Account balance
  - e. Cash in hand
  - f. Any other details as required

For those Beneficiaries that follow a single-entry basis of accounting (including SPIU and SAMC), closure financial statements would be as per Annexure 26 (Statement in Lieu of Balance Sheet). However all beneficiaries need to provide “Statement of receipt & expenditure under the Project” along with Annexure 28

#### **IV. Issue of Project Closure Certificate**

Upon acceptance of closure Utilization Certificate, and closure audited financial statements and upon receipt of unutilized amount if any, DGT/NPIU shall issue the Project Closure Certificate to the SPIUs (on behalf of all Implementing agencies under the Project or specified Implementing agencies, as the case maybe) and which will be followed by SPIUs issuing the Project Closure Certificate to ITIs. The Project will be considered closed only upon issue of Project Closure Certificate. For CFIs funded under STRIVE, closure certificate will be issued by DGT/NPIU directly to the CFIs.

#### **V. Closure Reporting of ICs under IAI Grant Mechanism**

For the purpose of closure, the Industry Clusters need to submit the following documents:

##### **(a) Closure Utilization Certificates**

The Industry Cluster need to submit a Closure Utilization Certificate within 30 days from the date of receipt of Notice of Closure of IAI Grant as per the format under Annexure 29 of these guidelines to the NPIU through SAMC as on date of closure showing the utilization of funds received till date. Any unutilized amount with Industry Clusters as on the date of closure shall have to be returned to the NPIU and reported in the Closure Utilization Certificate.

(b) Auditor Certificate

The Industry Cluster need to submit an auditor certificate certifying the correctness of the details provided in the Closure Utilization Certificate. This certificate shall be issued by the auditor doing the closure audit.

(c) Return of Unutilised Amount by ITIs

At the closure of the project, any unutilized amount available with ITI shall be returned to the State Treasury and from there the same shall be returned to NPIU.

(d) Closure Financial Statements for ICs and ITIs

Industry Clusters are required to submit audited financial statements which will show the position of funds received and expenditure incurred under IAI Grant Mechanism as on the date of closure and during the unaudited period between last audited Annual Financial Statements and date of closure. The audited financial statements need to be submitted to NPIU by Industry Cluster via SAMC within 45 days from date of receipt of Notice of Closure of IAI Grant.

The closure financial statements should include:

- i. Statement of receipt & expenditure which shall include-
  - a. Summary of funds received during the unaudited period
  - b. Income by way of interest etc.
  - c. Summary of expenditures under project result areas/activities during the unaudited period
  - d. Any other details as required
- ii. Balance Sheet showing-
  - a. Accumulated receipt of funds up to date
  - b. Accumulated receipt of other income if any
  - c. Block wise assets generated less accumulated depreciation showing Net Block
  - d. Project liabilities
  - e. Project Account balance
  - f. Cash in hand
  - g. Completion Report
  - h. Any other details as required

## **VI. Issue of IAI Grant Mechanism Closure Certificate**

Upon acceptance of closure Utilization Certificate, and closure audited financial statements and upon receipt of unutilized amount if any, DGT/NPIU shall issue IAI Grant Closure Certificate to the Industry Cluster.

## 4.2. Procurement guidelines under STRIVE Project

This section provides information to various procuring entities of STRIVE project about corresponding applicable procurement rules, eligible and ineligible procurement expenditure, requirement of procurement plans, importance of handling procurement related complaints in an unbiased and transparent manner, standard terms and conditions of bidding, etc.

STRIVE is a Program for Results (PforR) project with result areas covering four Results Areas, a Technical Assistance (TA) Component to compliment the project, and Government of India (GoI) funded Technical Support (TS) to supplement the TA. The budget allocation for STRIVE may be referred at Table 1.

### 4.2.1. Procuring Entities and applicable Procurement Methods/Rules

The various public procuring entities covered under STRIVE are NPIU, Central Staff Training and Research Institute (CSTARI), National Skill Training Institutes (NSTIs), National Instructional Media Institute (NIMI), SPIUs (including SAMCs) and Government ITIs. The procurement process and procedures applicable to the procurement under STRIVE are those of the Government of India as embodied under the General Financial Rules (GFR) 2017, and its update from time to time, or the States/Union Territory's own Financial Rules/Laws, as updated from time to time. It is mandatory to adhere to these processes and procedures for project related activities that involve procurement of Goods, Works, Consultancy and Non-consulting Services. STRIVE project will exclude all such activities that include procurement of:

- Works costing US \$75 million equivalent or more per contract
- Goods costing US \$50 Million or above per contract
- Non- consulting services costing US \$50 Million or above per contract and
- Consultancy services costing US \$20 Million or above per contract.

In respect of the private procuring entities i.e., Private ITIs and Industry Clusters, procurement will be carried out in accordance with the principles outlined in “Canons of Financial Propriety<sup>12</sup>” OR relaxation in State specific procurement procedure/guidelines may be given by the respective SPIU/State Government.

The procurements under the Technical Assistance Component funded by World Bank will be carried out in accordance with World Bank's ‘Guidelines : Procurement of Goods, Works and Non Consulting Services under International Bank for Reconstruction and Development (IBRD) Loans and International Development Agency (IDA) Credits and Grants by World Bank Borrowers’ dated January 2011, revised July 2014 (Procurement Guidelines) and ‘Guidelines : Selection and Employment of Consultants under IBRD Loans and International Development Agency (IDA) Credits and Grants by World Bank Borrowers’ dated January 2011, revised July 2014 (Consultancy Guidelines) and the agreed procedures as

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<sup>12</sup> Refer <http://www.iritm.indianrailways.gov.in/uploads/files/1360312162004-01.CANONS%20OF%20FINANCIAL%20PROPRIETY.pdf>

described in the Legal Agreements. This component will be handled and managed by NPIU and will have an oversight by the World Bank comprising of prior or post reviews and independent procurement reviews, as appropriate. Moreover, the World Bank online procurement planning and tracking tool, Systematic Tracking of Exchanges in Procurement (STEP), shall be used for review and approval by the World Bank. The details of activities to be financed under TA are covered in Table 33.

**Table 33: Procuring Entities, Likely Procurement Profile and Applicable Procurement Rules under STRIVE**

Result Area	Procuring Entities	Procurement profile/ outcome	Applicable Procurement Rules
Result Area-1	400 Govt. ITIs receiving Performance Based Grant (PBG) under STRIVE	Procurement under this result area will be as per the approved procurement plan submitted by the ITIs. The procurement plan submitted by the ITI must conform to guidelines mentioned in this manual, keeping in view eligible and ineligible expenditure. (Refer Section 3.1.7). These activities may illustratively include: Procurement of machinery, tools, raw material, trade related furniture & fixtures, e-learning material etc.	1. General Financial Rules 2017 <sup>13</sup> , State Financial Rules/Codes and Procedures/Guidelines/legislation on procurement, as updated from time to time 2. Government e. Market Place.(GeM) <sup>14</sup>
Result Area-1	100 Private ITIs receiving Performance Based Grant (PBG) under STRIVE		General Financial Rules 2017, as updated from time to time OR Applicable procurement method to be governed by “Canons of Financial Propriety” <sup>15</sup> OR Relaxation in State specific procurement procedure/guidelines may be given by the respective SPIU/State Government
Result Area-2	29 State Govt. and 07 UTs through their State Directorate of Employment and	Procurement activities include any skill development activities that are proposed by the SPIU, approved by the SSC and intimated to National Steering Committee (NSC). These activities may illustratively include: hiring of manpower for project related technological platforms,	GFR-2017 as updated from time to time. Or

<sup>13</sup> [https://doe.gov.in/sites/default/files/GFR2017\\_0.pdf](https://doe.gov.in/sites/default/files/GFR2017_0.pdf)

<sup>14</sup> Please refer rule 149 of GFR 2017 guidelines available on [https://doe.gov.in/sites/default/files/GFR2017\\_0.pdf](https://doe.gov.in/sites/default/files/GFR2017_0.pdf)

<sup>15</sup> Please refer <http://www.iritm.indianrailways.gov.in/uploads/files/1360312162004-01.CANONS%20OF%20FINANCIAL%20PROPRIETY.pdf>

<b>Result Area</b>	<b>Procuring Entities</b>	<b>Procurement profile/ outcome</b>	<b>Applicable Procurement Rules</b>
	Training departments dealing with implementation of CTS and ATS	hiring of consultancy services for implementation of Tracer Studies in the States/UTs, hiring of SPMCs/individual consultants, or any other procurement activity towards the achievement of KPIs and/or indicative reform activities, subject to the eligible and ineligible expenditures defined in Section 3.2.6.	State Financial Rules/ Codes/ Procedures/ Guidelines/ legislation on procurement, as updated from time to time
Result Area-3	Centrally Funded Institutions (CFIs) such as CSTARI, NIMI, NSTI, NSTI (W)	Contracting professional services for development of new curricula of emerging trades, hiring of content developers and publishers for production of modern teaching learning materials, hiring of research and communication agency, agency for conducting online examination, agency for developing question bank and other miscellaneous activities, procurement of software based teaching-learning materials, procurement of machinery and equipment required under up-gradation of trades under CTS, or any other procurement towards the achievement of reform activities in Teaching and Learning as deemed fit by NPIU.	GFR-2017 as updated from time to time
Result Area-4	Industry Clusters	Procurement outcomes of this result area will be as per the procurement plan submitted by the selected Industry Cluster and approved by the SSC/NSC. The procurement plan submitted by the Industry Cluster (IC) must conform to guidelines mentioned in this document, keeping in view eligible and ineligible expenditure (refer	General Financial Rules 2017, as updated from time to time OR An appropriate procurement method to be adopted based on “Canons of Financial Propriety” <sup>16</sup> )

<sup>16</sup> Please refer <http://www.iritm.indianrailways.gov.in/uploads/files/1360312162004-01.CANONS%20OF%20FINANCIAL%20PROPRIETY.pdf>

Result Area	Procuring Entities	Procurement profile/ outcome	Applicable Procurement Rules
		<p>Section 3.4.7). These activities may illustratively include: Procurement of machinery, tools, raw material etc. for setting up/partnering with basic training facility by ICs, tools and protective clothing for apprentices, hiring of professional services for development of curriculum of new courses which are industry specific and demand driven known as “Optional Trades”, or any other procurement towards the achievement of KPIs, subject to the Eligible Expenditures.</p>	<p>OR relaxation in State specific procurement procedure/guidelines may be given by the respective SPIU/State Government</p>
Technical Assistance	NPIU	<ul style="list-style-type: none"> <li>- Hiring of Project Monitoring Consultants</li> <li>- Hiring of Independent Verification Agency</li> <li>- Hiring agency for conducting Gender Study</li> <li>- Hiring agency for conducting Tracer Study by MSDE in the 5<sup>th</sup> year of the STRIVE Project.</li> </ul>	<p>Procurement of all goods and services under the TA component will be carried out in accordance with the World Bank’s ‘Guidelines: Procurement of Goods, Works and Non-Consulting Services under IBRD Loans and IDA credits and Grants by World Bank Borrowers, dated January 2011, revised July 2014 (Procurement Guidelines) and ‘Guidelines: Selection and Employment of Consultants under IBRD Loans and IDA Credits and Grants by World Bank Borrowers’, dated January 2011, revised July 2014 (Consultancy Guidelines) and the agreed procedures described in the Legal Agreements.</p>
	NPIU	The funds will be utilized for activities related to:	1. GFR 2017 as updated from time to time

Result Area	Procuring Entities	Procurement profile/ outcome	Applicable Procurement Rules
Technical Support		<ul style="list-style-type: none"> <li>- Procurement of ‘Support Services’ connected with Technical Support component of GoI at the office of ‘National Project Director’ of STRIVE project. The permissible list of support services shall include</li> <li>- Procurement of Computing devices, Printers, Scanners, Multifunction devices and networking/internet devices,</li> <li>- Hiring of technical manpower under STRIVE,</li> <li>- Hiring of vehicle for tours and travels,</li> <li>- Domestic tours and travels of Staff including TA/DA,</li> <li>- All expenses pertaining to holding of meetings, workshops and JRMs locally/outstation,</li> <li>- Office consumables,</li> <li>- MIS including e - governance module(s) component,</li> <li>- Any other relevant goods/services etc. required at the level of Project Steering Committee(PSC) and National Steering Committee (NSC) for effective implementation of STRIVE Project.</li> </ul> <p>Apart from above, any other activity as approved by NSC depending on the availability of funds.</p>	2. Government e. Market Place.(GeM) <sup>17</sup>
	SPIU	The funds will be utilized for activities related to:	GFR 2017 as amended from time to time

<sup>17</sup> Please refer rule 149 of GFR 2017 guidelines available on [https://doe.gov.in/sites/default/files/GFR2017\\_0.pdf](https://doe.gov.in/sites/default/files/GFR2017_0.pdf)



Result Area	Procuring Entities	Procurement profile/ outcome	Applicable Procurement Rules
		<ul style="list-style-type: none"> <li>- Policy development and regulatory reforms in long term skilling</li> <li>- Monitoring and Evaluation activities including impact evaluation of STRIVE Project</li> <li>- Piloting Innovative interventions for improvement in training</li> <li>- Carrying out beneficiaries feedback studies examining challenges faced by youths</li> </ul> <p>Apart from above, any other activity as approved by SSC depending on the availability of funds.</p>	<p>OR</p> <p>State Financial Rules/ Codes/ Procedures/ Guidelines/ legislation on procurement, as updated from time to time</p>

Considering that the procurement is highly decentralized with various applicable procurement rules, it is not possible to provide uniform guidelines for procurement under STRIVE. While expecting the implementing agencies to follow their own applicable procurement procedures as updated from time to time, the NPIU will provide standardized bidding conditions with specific guidance note so that there is uniformity of procurement by different implementing agencies. This will eliminate discrepancies in procurement terms and conditions among the agencies and is likely to ensure that bidders do not take advantage of decentralized procurement. It must be made clear that the possibility of getting different prices by agencies can still not be ruled out due to local factors influencing price. NPIU/SPIU will ensure an effective exchange of information among agencies to address this anomaly and create a Rate Bank of commonly purchased goods/equipment depending on the trade, and nature of training. It may also be possible for one implementing agency to take lead to procure items after clubbing the same requirement of other implementing agencies to obtain economies of scale.

The concept of preparing and updating annual procurement plan will be rigorously enforced, and the same will be disclosed on the web site of Central and State Governments and shared among all implementing agencies. The draft procurement plan will be prepared in the beginning of every financial year, i.e., in the month of April. The NPIU/SPIU will review and have a meeting with all implementing agencies and take a call on an appropriate procurement strategy in order to bring in efficiency in procurement with the objective of achieving value for money, taking into consideration AMC requirements, local supply market, past procurement issues, etc. Further details on 'Procurement Plan' and award details are to be made available/disclosed on the project website and shared among implementing agencies, which may act as a data bank.

It is envisaged that most of the procurement under the project would be below INR 50, 00,000. In the same context, procuring entities are required to refer "Make in India" initiative guidelines available at <http://dipp.nic.in/public-procurement/public-procurement>, while carrying out procurement for estimated cost of INR 50, 00,000 per single procurement. In case of any procurement above INR 50, 00,000, NPIU needs to be notified. In order to leverage economies of scale, NPIU may explore the option of using framework agreements.

#### 4.2.2. Technical Support of INR 188 Crores funded by Government of India under STRIVE project

This is for certain ongoing activities e.g. funding of SPIUs and few other specific activities to be undertaken at the NPIU and SPIU level, as per Table 33.

##### **At NPIU level:**

The relevant permissible procurement activities under Technical Support can be carried out under the Administrative/Financial approval of National Project Coordinator STRIVE up-to INR 5, 00,000 per contract and National Project Director STRIVE above INR 5, 00,000 up-to INR 50, 00,000 per contract. The same can be carried out under the compliances of GFR-2017.

#### At SPIU level:

The relevant procurement activities under Technical Support shall be carried out under the Administrative/Financial approval of State Project Director or “State Steering Committee” of respective States by adhering to State specific procurement guidelines/legislation as per latest amendments thereof, if any.

#### 4.2.3. Eligible and Ineligible Procurement Expenditure

Any ineligible procurement expenditure incurred by the implementing agencies (CFIs, States, ITIs and ICs) shall not be borne by the STRIVE project. Implementing agencies are therefore, further encouraged to seek clarification as and when required, at the NPIU/SPIU level so as to avoid any audit observations.

**Table 34: Eligible and Ineligible Procurement Expenditure under STRIVE**

Government ITIs	Private ITI	Industry Clusters
Please refer Table No. 12 under section 3.1.7 of Operations Manual	Please refer Table No. 13 under section 3.1.7 of Operations Manual	Please refer section 3.4.7 of Operations Manual

#### 4.2.4. Delegation of Administrative and Financial Powers by the State Governments to the “Competent Authorities” of Government/Private ITIs and ICs

In the context of STRIVE Project, “Competent Authorities” implies the authorities who are vested with administrative and financial powers for the purpose of carrying out procurement activities pertaining to goods, works and services (consulting and non-consulting) as per the procurement plan. The respective State Governments, through an executive order, shall delegate the administrative and financial powers to the selected ITIs and ICs under STRIVE as Table 35:

**Table 35: Administrative and Financial Powers**

S. No.	Competent Authority of ITI/IC		Delegated Powers (per contract)
	Govt. / Pvt. ITI	Industry Cluster	
1.	The Principal of the ITI	Treasurer/Authorized Officer of GWPC of IC	Up to INR 1 lakh
2.	Goods and Works Procurement Committee (GWPC)	GWPC of IC	Above INR 1 lakh and up to INR 10 lakhs
3.	Governing Council of Institute Management Committee (IMC) ( or equivalent)	Governing Committee of IC	Greater than INR 10 lakhs up to 25 lakh

Any procurement of value above INR 25 lakh will be done at respective SPIU level with approval from respective SSC.

#### 4.2.5. Procurement Plan

Procurement plan defines the procurement requirement in a specified format that the implementing agency will procure from external suppliers. It is required to be submitted by all implementing agencies under all Result Areas of STRIVE. All procurement will be initiated after approval of the procurement plan from authorities as specified in the guidelines. All procurement plans will need to be disclosed in public domain in a legible form by the respective implementing agencies. The procurement plan templates are available at Annexure 7 for Result Area 1 and Annexure 30 for Result Area 4. However procuring entities under Result Areas 2 and 3 may develop their specific formats in order to prepare Procurement Plan. The Procurement plan will serve as a tool for proper monitoring and execution of procurement activities.

It may be noted that only approved Procurement plan is to be implemented by the procuring Entities. The same should be in alignment with eligible and ineligible expenditures of respective result areas. Procurement plan covering minor civil works, major civil works pertaining to construction of buildings under any result areas is not permitted, however any exception to this must be properly justified by the procuring entities and be submitted to NPIU for its approval before implementation.

##### *4.2.5.1. Procurement plan of Government/Private ITIs (under Result Area 1) and ICs (under Result Area 4)*

The details of all types of requirements including cost of goods, works and services (Non-consultancy only) for each eligible Govt. ITI will be reflected in the procurement plan along with the Institute Strategic Plan (ISP). The ISP approved by IMC (or equivalent) of the Institute needs to be submitted to SPIU for evaluation and onward submission to NPIU for further approval.

In case of eligible Private ITIs they will submit their ISPs, approved by IMC of the institute, along with the procurement plans directly to NPIU for approval under intimation to respective SPIUs.

With respect to Industry Clusters, the procurement plan is to be submitted to SAMC concerned after approval by the Governing Committee (GC) of IC.

While preparation of procurement plan, the procuring entities may break down it various “Procurement Packages” (clubbing of similar types of equipment) for ease of bidding process. It is required to ensure that the procurement of goods conform to National Skills Qualifications Framework (NSQF) compliant courses/ Standard National Council for Vocational Training (NCVT) list of Machinery/Equipment/Tools and duly approved by Institute Management Committee (IMC) (or equivalent) of respective Govt. / Private ITI. Any exception to this may be properly justified and approval of SPIU may be obtained before its initiation.

1. The procurement packages will be processed/procured at respective selected ITI and IC level with due diligence by various “Competent Authorities” as per the delegated Financial Powers as depicted in Annexure 31 (for Private ITIs), Annexure 32 (for Govt. ITIs) and Annexure 33 (for ICs)
2. The SPIUs shall scrutinize the Institutional Strategic Plan and Procurement Plans submitted by eligible Government ITIs for
  - i. Relevance of procurement profile towards achievement of prescribed KPIs under STRIVE Project.
  - ii. Ensuring the all required information in the ISP is authentic as per the records available and set of supporting documents have been annexed. A check list may be developed by SPIU to ensure consistency so that back reference because of documentary deficiencies could be minimized to a larger extent.
  - iii. Ensuring that the Machinery/Equipment and other items being procured are permissible under the project.
3. The respective SPIUs shall submit a consolidated evaluation report of ISP and Procurement Plans to NPIU in respect of all such eligible Govt. ITIs
4. The eligible Private ITIs will submit their ISPs and procurement plans directly to the National level ITI Evaluation Committee under intimation to the respective State/SPIU concerned.
5. Under Result Area 4, the eligible Industry Cluster needs to submit procurement plan, as per Annexure 30, to SAMC after approval of the Governing Committee of Industry Cluster. Detailed information for such plan is available at Annexure 34 and delegated administrative and financial powers are annexed at Annexure 33.
6. Revision/Updating of Procurement Plan of Government/Private ITI and ICs: The procurement plan of ITI/IC can be revised/updated, as required, to reflect the actual project implementation needs and improvements but within the framework of the guidelines provided in this manual. Revision/updating of finalized/approved Procurement Plan can be carried out if necessary to address changing priorities of the institute with the prior approval of Governing Council of Institute Management Committee of respective Government/Private ITI and Governing Committee in respect of Industry Clusters.

#### *4.2.5.2. Procurement plan of State Governments/SPIUs under Result Area 2*

The states shall be incentivized for achieving KPIs as per Table 16/ Table 17/ Table 18 and certain state-specific reform activities as outlined in Annexure 10. SPIU will prepare procurement plan in their own formats. The procurement plans will be approved by the SSC and further intimated to NPIU. The approved procurement plans will be disclosed on both State directorate and project websites.

#### 4.2.5.3. *Procurement plan of Centrally Funded Institutes viz. all the NSTIs, CSTARI and NIMI under Result Area 3*

The procurement plan with respect to each Centrally Funded Institute will be prepared by the Director of the institute and approved by NPIU. At the Institute level procurement will be carried out under the overall supervision and guidance of the Director of the institute.

#### 4.2.6. Disclosure of Procurement Information

The following documents shall be disclosed on the website of procuring entities and on the websites of both the State Directorates and NPIU:

- i. Approved procurement Plan and updates;
- ii. Invitation for bids for goods, works, services (consulting and non-consulting) for all National Competitive Bidding (Open Tendering);
- iii. Shortlists of consultants;
- iv. Contract award notices of all procurements carried out under STRIVE
- v. Action taken report on complaints received on a quarterly basis

#### 4.2.7. Procurement Audit by auditors and World Bank

Post review of all the contracts under the Project as well as interim biannual financial along with procurement audit under the Project will be conducted by the auditors in addition to the mandatory Annual/Statutory audits will be conducted by the auditors as per the laid down procedures. All documents related to procurement will be filed and kept systematically and safely. In addition, the World Bank will conduct post review of the contracts financed under the Technical Assistance Component of STRIVE. The concerned authorities will be required to make available all relevant documents to the World Bank, as and when required. The documents to be kept ready for audit include *inter- alia*:

- a) Copy of approved procurement plan and delegation of financial power;
- b) All approvals from competent authorities related to procurement decision making including on contract variations;
- c) Advertisement/ details of publicity
- d) Bidding/quotation/RFP documents and addenda;
- e) Details of actual key bidding dates;
- f) Minutes of pre-bid/pre-proposal conference;
- g) Minutes of bid/quotation/proposal opening;
- h) Bid/proposal evaluation report together with recommendation for award of contract;

- i) Contract document;
- j) Details and supporting documents related to payments made to contractors/suppliers/vendors/consultants/service providers
- k) Information on procurement related complaints [copy of the complaint and details of action taken towards resolution, etc.]
- l) Information on adherence to disclosure requirements as outlined in the Operations Manual

In addition to above, all procuring entities will maintain the following basic records which will be seen during the audits:

- Purchase Order Log - containing a numerical brief record of all purchase orders issued i.e. purchase order number, supplier's name, brief description of stores, total value etc.
- Open Order File - containing status of all outstanding orders.
- Closed Order File - containing historical data of all completed orders.
- Vendor Record File - containing names, addresses, materials that vendor can supply, delivery and quality records etc.
- Purchases made through GeM portal - The purchase records of items under GeM to be maintained separately.
- Purchase Reports - since the Procuring Entities will be handling a sizable portion of the finances, it is desirable to have some summary reports periodically (monthly/ quarterly/ half yearly/ annually) available to the NPIU by the CFIs and to the SPIU by the State level procuring entities.

The procuring entities will maintain all the records of issue, receipt, opening, evaluation of tenders, award of contracts, payments made, and all procurement records in chronological order and the files kept in a safe and identified place, protected from water and pest damage and should be retrievable for scrutiny whenever needed without wastage of time. The records of dispute resolution, complaint handling, correspondence with suppliers/contractors, consultants, banks etc. also should be kept separately and should be retrievable. Records should be maintained for a minimum period of 5 (five) years beyond the closure of the STRIVE project.

#### 4.2.8. Complaint Redressal Mechanism pertaining to Procurement of Goods, Works and Services

The NPIU as well as SPIU will integrate procurement related complaint redressal system in overall grievance redressal portal, as highlighted in Section 5.1. In order to deal with the complaints received from the contractors/suppliers effectively, a complaint handling mechanism will be made available at the Central/State/ITI level and immediate action will be initiated on receipt of complaints to redress the grievances. All complaints on receipt will need to be entered in a register. These complaints will be discussed with National Project Coordinator STRIVE at DGT level and/or at the State/SPIU level with the State Project Director STRIVE within timelines

as mentioned in Section 5.1. If a complaint is received after award of contract, it will be discussed on the file and put up to the appropriate authority for a decision.

All such complaints will be handled at an administrative level higher than the level at which the procurement process is being undertaken and any allegations made in the complaints should be enquired into in detail. If allegations are found correct, appropriate remedial measures should be taken by the higher administrative authorities.

If an individual staff is found responsible, suitable disciplinary proceedings will be initiated, against such staff under the applicable “code of conduct” rules. The existing provisions under the Indian law including the instructions of Central Vigilance Commission (CVC) should be followed in this regard. An appropriate response will also be sent to the complainant within a specified timeframe.

#### 4.2.9. Standard Terms and Conditions of Bidding Documents

Each procuring entity including public and private entities shall invariably insert STCs in the bidding and contract documents keeping in view the procurement method applicable and ‘GoI/State specific procurement guidelines governing the contract’. A set of indicative STCs are given below for ready reference of all procuring entities.

### **I. Fraud and Corruption**

It is required that procuring entities as well as Bidders, Suppliers, Contractors, and their sub-contractors, and consultants under STRIVE financed contracts, observe the highest standards of ethics during the procurement and execution of such contracts. The Director/Principal, Governing Council, Goods and Works Procurement Committee and Consultants/service providers will observe the highest standard of ethics during the discharge of their duties and responsibilities while implementing/ execution of such contracts under the STRIVE project.

1. For the purposes of this provision, the terms set forth below as follows:
  - i. “corrupt practice” is the offering, giving, receiving, or soliciting, directly or indirectly, of anything of value to influence improperly the actions of another party;
  - ii. “fraudulent practice” is any act or omission, including a misrepresentation, that knowingly or recklessly misleads, or attempts to mislead, a party to obtain a financial or other benefit or to avoid an obligation;
  - iii. “collusive practice” is an arrangement between two or more parties designed to achieve an improper purpose, including to influence improperly the actions of another party;
  - iv. “coercive practice” is impairing or harming, or threatening to impair or harm, directly or indirectly, any party or the property of the party to influence improperly the actions of a party;
  - v. “obstructive practice” is :



- deliberately destroying, falsifying, altering or concealing of evidence material to the investigation or making false statements to investigators in order to materially impede a procuring entity investigation into allegations of a corrupt, fraudulent, coercive or collusive practice; and threatening, harassing or intimidating any party to prevent it from disclosing its knowledge of matters relevant to the investigation or from pursuing the investigation; and
  - acts intended to materially impede the exercise of the procuring entity's inspection and audit rights provided for under sub-paragraph(e) below
2. The procuring entity will reject a proposal for award if it determines that the Bidder/Service Provider(Consulting and Non-consulting) recommended for award has, directly or through an agent, engaged in corrupt, fraudulent, collusive or coercive or obstructive practices in competing for the contract in question;
  3. The procuring entity will cancel the portion of the funds allocated to a contract if it determines at any time that representatives of the bidders, suppliers, contractors or consultants engaged in corrupt, fraudulent collusive, coercive or obstructive practices during the procurement or execution of that contract, without the procuring entity having taken timely and appropriate action satisfactory to the NPIU to address such practices when they occur;
  4. The procuring entity will sanction a firm or individual, including declaring them ineligible, either indefinitely or for a stated period of time, to be awarded a contract financed under STRIVE if it at any time determines that the firm has, directly or through an agent, engaged, in corrupt, fraudulent, collusive, coercive, or obstructive practices in competing for, or in executing, a STRIVE-financed contract and
  5. The procuring entity will have the right to require that a provision be included in bidding document and in contracts financed by STRIVE, a provision be included requiring bidders, suppliers, contractors and consultants to permit the procuring entity to inspect their accounts and records and other documents relating to the bid submission and contract performance and to have them audited by auditors appointed by the procuring entity
  6. The procuring entity may include other conditions in the bidding documents as relevant.

## **II. Resolution of Disputes**

1. The dispute resolution mechanism will be very clearly indicated in the contract document. As far as possible, disputes may be resolved with mutual agreement between the procuring entity and bidders, suppliers, contractors and consultants through alternate dispute resolution mechanisms to avoid going through arbitration and litigation stages.
2. There are a number of causes of disputes during the execution of contract. These may involve for example:
  - Interpretation of the terms and conditions of the contract

- Delay in delivery/ completion of the works
  - Delay in release of payments
  - Independent test results
  - Condition of the item on arrival at consignee' end after delivery
  - Design/ specification issues
3. It is also possible for a manufacturer to dispute a decision made by the inspection agency regarding product packing or appearance or testing/ inspection result. In most cases, manufacturers accept the results of independent laboratories and replace the rejected stores. Procedures for dealing with such disputes should be indicated in the contract.

### **III.Laws Governing the Contract**

1. All the contracts will be governed by the laws of India.
2. The courts of the place, from where the acceptance of tender has been issued, shall alone have jurisdiction to decide any dispute arising out of or in respect of the contract.
3. Irrespective of the place of delivery, the place of performance or place of payment under the contract or the place of issue of advance intimation of acceptance of tender, the contract will be deemed to have been made at the place from where the acceptance of the tender has been issued.

### **IV. Arbitration**

The bid/ tender documents should specify the procedure for appointment of arbitrator and his replacement etc. and provisions laid down therein should be followed. In other cases the following information should be suitably incorporated in the request inviting the quotations to obtain the consent of the bidder/ tenderer to accept the arbitration clause.

1. In the event of any question, dispute or difference arising under the contract conditions or any special conditions of contract, or in connection with the contract (except as to any matters the decision of which is specially provided for by these or the special conditions) the same will be referred to the sole arbitration of an officer, from the government department other than the department which decided the contract, having sufficient knowledge of law, appointed to be the arbitrator by the purchaser. The decision of the arbitrator shall be final and binding on both the parties to this contract.
2. In the event of the arbitrator dying, neglecting or refusing to act or resigning or being unable to act for any reason, it will be lawful for the purchaser to appoint another arbitrator in place of the outgoing arbitrator in the manner aforesaid,
3. It is further a term of the contract that no person other than the person appointed by the purchaser as aforesaid should act as arbitrator and if for any reason that is not possible, the matter is not to be referred to arbitration at all.

4. Arbitrator may, from time to time, with the consent of all parties to the contract enlarge the time for making the award.
5. In pursuance of a reference, the assessment of the costs incidental to the reference and award respectively will be at the discretion of the arbitrator.
6. Subject to as aforesaid, the Arbitration and Conciliation [Amendment] Act, 2015 amended up to date and the rules there under and any statutory modification thereof for the time being in force will be deemed to apply to the Arbitration proceedings under this clause.
7. The arbitrator will be requested to give a reasoned award.
8. The venue of arbitration will be the place from which formal Acceptance of Tender is issued or such other place as the purchaser at his discretion may determine.

## **V. Insurance**

The goods/ works under supply must be fully insured against any loss or damage during transit or storage or during construction. Insurance shall be taken for 110% of value of the contract.

## **VI. Patent Rights**

The supplier/ contractor should have proper and valid license/ right to the use of and/ or supply the product/ services for their design, material or manufacturing and its patent, trademark or industrial design rights in the purchaser's country. The supplier/ contractor should safeguard the interest of the purchaser from any third party claim towards the infringement of same and indemnify the purchaser. Provision should be kept for the same in the contract.

## **VII. Force Majeure**

There could be circumstances/ events where the supplier/ contractor may not be in a position, in spite of his best efforts, to meet the delivery/ completion schedule due to events beyond their control and not foreseeable such as wars, or revolutions, fires, floods, epidemics, natural calamities, quarantine restrictions and freight embargo etc. In such cases suitable delivery extension based on merit of the case may be granted for arranging the delivery of goods or completion of works. Also the supplier shall not be made liable for forfeiture of performance security, liquidated damages or termination of contract as per provisions made in the contract elsewhere. A suitable clause may be provided in the contract to this effect.

## **VIII. Ineligibility of debarred/suspended firms as per World Bank guidelines**

The procuring entities shall make every effort to ensure that a contract award is not placed on entities listed under [World Bank's list of temporarily suspended and debarred firms](http://web.worldbank.org/external/default/main?contentMDK=64069844&menuPK=116730&pagePK=64148989&piPK=64148984&querycontentMDK=64069700&theSitePK=84266)<sup>18</sup> and

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<sup>18</sup> World Bank's list of temporarily suspended and debarred firms:  
<http://web.worldbank.org/external/default/main?contentMDK=64069844&menuPK=116730&pagePK=64148989&piPK=64148984&querycontentMDK=64069700&theSitePK=84266>

individuals that is updated from time to time.

## **IX. Other General and Standard terms and conditions**

The procuring entities should ensure inclusion of other general and standard terms of conditions such as clauses on warranty, guarantee, post-tender negotiations in all bidding as well contract documents as applicable for type of procurement being carried out.

### 4.2.10. Conflict of interest during procurement

A conflict of interest (actual, perceived or potential) in procurement may arise where a personal, family or business relationship or interest has the potential to unfairly affect or influence the proper outcome of a decision or process of procurement. It is required that the competent authorities i.e., “Principal of Project ITIs”/“Treasurer of ICs”, “Goods and Works Procurement Committees of Project ITIs/ ICs and Governing Councils of IMCs/Governing Committees of ICs” involved with procurement activities provide professional, objective, and impartial advice and at all times hold the implementing agency’s interest paramount, without any consideration for future work, and strictly avoid conflicts with other assignments or their own corporate interests. The above entities will need to act in a transparent and unbiased manner while awarding the contracts to the vendors/suppliers.

An indicative list detailing measures of mitigation of such situations are listed below:

- the person being removed from involvement in the procurement process or any aspect of the process that they have a conflict with
- the person removing the interest
- restricting the involvement of the person to certain parts of the procurement process, for example, in writing the specifications but not being involved further in the decision making process
- engaging or recruiting an independent person to oversee the process

Consultants will not be hired for any assignment that will be in conflict with their prior or current obligations to other clients, or that may place them in a position of not being able to carry out the assignment in the best interest of the procuring entity. Without limitation on the generality of this rule, consultants shall not be hired under the circumstances set forth below:

A firm that has been engaged to provide goods or works for a project, and any of its affiliates, shall be disqualified from providing consulting services for the same project. Conversely, a firm hired to provide consulting services for the preparation or implementation of a project, and any of its affiliates, will be disqualified from subsequently providing goods or works or services related to the initial assignment (other than a continuation of the firm’s earlier consulting services) for the same project. This provision does not apply to the various firms (consultants, contractors, or suppliers) that together are performing the contractor’s obligations under a turnkey or design-and-build contract, as applicable.

Consultants or any of their affiliates will not be hired for any assignment that, by its nature, may be in conflict with another assignment of the consultants.

### 4.3. Monitoring and Evaluation

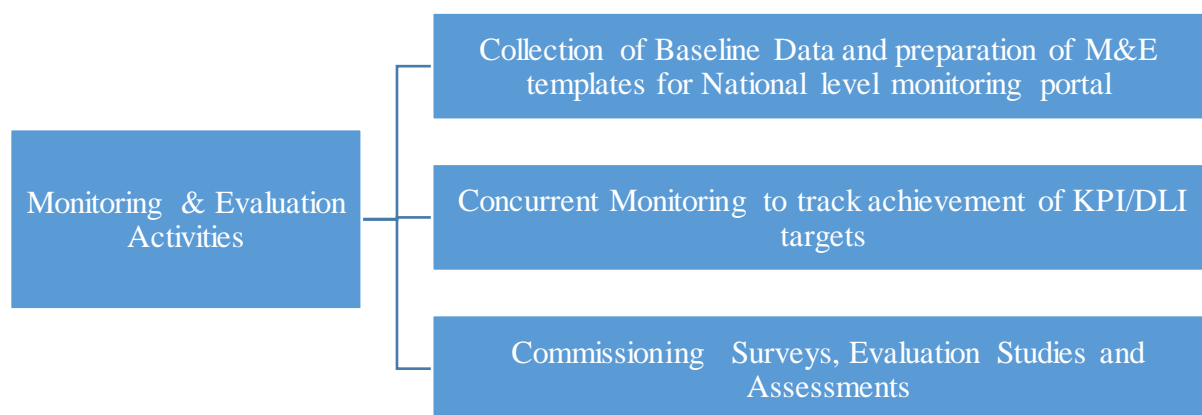
A robust Monitoring and Evaluation framework is critical to achieve the objectives of STRIVE. The project follows Program for Result (PforR) instrument with clearly defined result outcomes (Key Performance Indicators or KPI). Fund disbursement is linked to achievement of each KPI milestone by the implementing agencies - NPIU, Directorate General of Training (DGT), MSDE, and State Directorates dealing with ITIs, ITIs and Industry Clusters. The physical and financial targets outlined under respective result areas of STRIVE project will be monitored concurrently. The concurrent monitoring will help in tracking progress of agreed targets and thereby identifying bottlenecks during the implementation of the project. The concurrent monitoring will also provide scope for course correction / modification in the project implementation strategies to the various project implementing agencies. This will also be coupled with evaluation studies to assess the impact of various project interventions.

The data points, including baseline, for concurrent monitoring of the project will be collected using a National level portal<sup>19</sup> which will provide limited access to the SPIU (including SAMC) in order to track progress by various state level Implementing Agencies (IAs). On the basis of these real-time data points, various monthly, quarterly, semi-annual and annual monitoring reports will be prepared by SPIU and NPIU as detailed in this section.

#### 4.3.1. Monitoring and Evaluation activities

The various monitoring and evaluation activities under STRIVE project are clubbed under three major heads as shown in Figure 8:

**Figure 8: Monitoring and Evaluation Activities**



- **Baseline data collection**– This involves collation of baseline data for all agreed KPI milestones across various project implementing agencies. The accurate baseline will help in

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<sup>19</sup> A national level monitoring platform will be designed by NPIU. Further extension in NCVT MIS portal may also be relooked.

measuring performance of Implementing Agencies (IAs) against agreed outcomes. The baseline data collection will be done by the NPIU with support from other IAs on or before signing agreement with Central/State Government. Along with baseline data collection, various indicators will be identified in order to be captured in the National portal which will help in concurrent monitoring of the project. Additionally, the SPIU will ensure that all the baseline information related to trainer vacancy is collected from Govt. ITIs as per the Annexure 35 by December 31, 2018. They would also need to ensure that other baseline related to implementing agencies would be captured within 1 month of signing the respective grant agreement. The data so received will be summarized and shared with NPIU by respective SPIU as per the Annexure 36.

- **Concurrent Monitoring** – As STRIVE follows PforR instrument, hence it needs to be monitored on an ongoing basis using data from the National portal. SPIUs will be given a limited access to the portal in order to access data of state level IAs and monitor their progress on agreed KPI milestones. NPIU will have access to data of IAs across the project in order to monitor the progress of IAs on agreed KPI milestones. This is important as it will help in timely identifying bottlenecks and suitably address them in order to ensure progress of the project and thereby achieving its defined Disbursement Linked Indicator (DLI), KPI and Intermediate Result Indicator (IRI).
- **Survey, Studies and assessment** – NPIU with assistance from IAs will commission various studies during the course of implementation of the STRIVE project in order to evaluate the implementation of the project. Currently the project envisages to conduct the following studies:
  - Tracer studies at the state level which is incidentally a KPI for result area 2 as well
  - Tracer study at the NPIU level in year 5
  - Gender study at the National level in order to understand the issues and suggest adequate measures to increase female participation
  - Research studies on apprenticeship and communication strategy in order to suggest suitable modification for improvement of the project and achievement of the desired results.

#### 4.3.2. Monitoring and Evaluation Framework

The Monitoring and Evaluation framework of STRIVE defined in Table 36 depicts the input, activities, output, and outcome in details in order to track the activities which will impact the project and help achieve the desired results.

**Table 36: Monitoring and Evaluation Framework**

<b>Inputs</b>	<b>Activities</b>	<b>Outputs</b>	<b>Outcomes</b>	<b>Impact</b>
<ol style="list-style-type: none"> <li>1. Funds for upgrading of ITIs, including new equipment</li> <li>2. Funds and TA for design and implementation of distance learning/blended courses</li> <li>3. Funds for capacity development of public and private stakeholders of ITIs and apprenticeship training</li> <li>4. Funds for IAIs</li> </ol>	<ol style="list-style-type: none"> <li>1. Implementation of PB Grant Agreements with ITIs to increase performance</li> <li>2. Upgrading of ITI facilities</li> <li>3. Development of technology- supported TL resources based on revised curricula</li> <li>4. Strengthening state capacity for improving relevance and quality of long- term training (including MIS)</li> <li>5. Development of technology- supported training modules in teachers training (technical competency and pedagogy methods)</li> <li>6. Support to ICs to deliver dual apprenticeship programs</li> </ol>	<ol style="list-style-type: none"> <li>1. New market- driven courses and more on- the- job training offered by ITIs</li> <li>2. Improved ITI management capacity at the state level, including reduced staff vacancies and better information management</li> <li>3. Greater percentage of female and ST students in ITIs</li> <li>4. Improved learning materials</li> <li>5. Increased number of teachers trained</li> <li>6. Increased number of enterprises participating in apprenticeship training</li> <li>7. Increased female participation in apprenticeship training</li> </ol>	<ol style="list-style-type: none"> <li>1. Increased number of ITI graduates</li> <li>2. Increased female enrolment across ITIs</li> <li>3. Improved employment prospects of ITI graduates, particularly women and STs</li> <li>4. Reduced teacher vacancies in ITIs</li> <li>5. Improved quality of teaching staff</li> <li>6. Increased number of market-driven apprenticeship programs</li> </ol>	<ol style="list-style-type: none"> <li>1. Increased access to skills by firms, particularly Micro, small and Medium Enterprise (MSMEs)</li> <li>2. Greater firm productivity</li> <li>3. Higher employment rates, earnings, and household income, particularly for the young, women and STs</li> </ol>



### 4.3.3. Monitoring Strategy and Approach

National Project Implementation Unit (NPIU) will monitor progress of implementation of the project by all IAs. At the State & Union Territory level, the State Project Implementation Unit (SPIU) and State Apprenticeship Monitoring Cell (SAMC) will be responsible for monitoring the activities related to ITI and Industry Cluster (IC) respectively under STRIVE.

The strategy for ensuring adequate Monitoring and Evaluation (M&E) of the STRIVE project will involve data collection using the National level portal, monitoring field visit, review meetings, quarterly and annual reports and other thematic and case studies on a need basis. The below table summarizes the key activities, responsibility, frequency, method and the output expected

**Table 37: Monitoring Strategy**

Activities		Responsibility	Frequency	Method	Output
Baseline data collection		All Implementing Agencies	Start of the project and within 30 days of signing the grant agreements	Through NCVT MIS or equivalent National portal and filled templates from SPIU (Refer Annexure 35 and Annexure 36)	Baseline of all the project KPI and DLI
Data and Information Collection		Project ITI and IC	Monthly	Online MIS <a href="https://ncvtmis.gov.in">https://ncvtmis.gov.in</a>	ITI and IC wise Report
		SPIU and SAMC	Monthly	Online MIS <a href="https://ncvtmis.gov.in">https://ncvtmis.gov.in</a>	Monthly Reports
		NPIU-PMC – NSDC & DGT Portal	Monthly	Online MIS <a href="https://ncvtmis.gov.in">https://ncvtmis.gov.in</a>	Quarterly Report
Field Visits to ITI and IC		NPIU, SPIU and SAMC	Quarterly - NPIU Monthly – SPIU and SAMC	Physical	Field Report
Review Meetings	DGT / Zonal level	NPIU	Quarterly	Physical	Minutes of Meeting
	State Level	SPIU and SAMC	Quarterly	Physical	
Submission of Reports		SPIU and SAMC	Quarterly and Annual	Online	State wise Reports to NPIU

Activities	Responsibility	Frequency	Method	Output
	NPIU	Quarterly and Annual	Online	Consolidated Reports to World Bank
Other studies (includes Case Studies and thematic studies etc.)*	NPIU, SPIU and SAMC	Annual	Physical	Report

\* Will be done on need basis

#### 4.3.4. Monitoring Plan

- Project monitoring will capture information as per the DLI mentioned in Table 38 below and KPI as mentioned in Table 39 and in various result area's sections of the operations manual.
- The NPIU will provide training to the Monitoring & Evaluation expert or a nodal officer of SPIUs (including SAMCs) from the participating states. These trainings will be initiated through regional and National level workshop within first three months of project initiation.
- The NPIU will carry out review meetings every quarter to assess the progress of the STRIVE project which will be conducted either at DGT central or zonal offices.
- The SPIUs and SAMCs will undertake visit on a sample basis to implementing agencies in respective State/UT in order to ensure that all the implementing agencies are covered at least once during an implementation year. The purpose of such visits is to assess project implementation progress and to provide real time report to the NPIU. During visits, requisite guidance, feedbacks, corrective measures will also be provided to the ITIs and ICs visited.
- The SPIUs and SAMCs will carry out review meetings in each Quarter to review the progress of the STRIVE project related to the ITIs and ICs respectively. On the basis of review, the SPIUs and SAMCs will prepare and share quarterly and annual reports to the NPIU as per the Table 37 above.
- Central Staff Training and Research Institute (CSTARI) and NIMI are other key stakeholders involved in the implementation of project and will be primarily responsible for Result Area 3. They will be engaged to revamp Craftsmen Training Scheme (CTS) and Craft Instructors Training Scheme (CITS) courses in blended mode and further on run a pilot of these courses across few ITI and NSTI. They will report the developments to the NPIU with respect to the development and implementation of course curriculum and training.

**Table 38: Methodology for Data collection (achievement of DLI)**

<b>Results Areas Supported By PforR</b>	<b>DLI</b>	<b>Indicator</b>	<b>Definition</b>	<b>Data Collection and Dissemination Method</b>	<b>Frequency</b>
# 1. Improved Performance of Industrial Training Institutes	# 1	1. Increase in the number of graduates from ITIs that have signed PB Grant Agreements	<ol style="list-style-type: none"> <li>1. The objective of this is to measure the percentage increase of total number of graduates across all ITIs over the baseline data. All the ITIs who will sign the PB Grant Agreements will be considered for the purpose.</li> <li>2. Graduates refer to trainees who have successfully completed a CTS trade or any other NSQF compliant trade offered in the ITI with a minimum duration of 300</li> </ol>	<ol style="list-style-type: none"> <li>1. Project ITIs enrollment data need to be updated on the National portal and will be extracted by SPIU of respective States.</li> <li>2. The States will have to validate the authenticity and analyze the data updated by the project ITIs. Further on a report will be prepared and submitted to the NPIU.</li> </ol>	Annual From Year 2 Onward
		1.1. Percentage increase in enrollment across ITIs with signed PB Grant Agreements	<ol style="list-style-type: none"> <li>1. This refers to all trainees in the project ITIs and enrolled in any CTS trade or any other trade offered by the ITI with a minimum duration of 300 hours during an academic session.</li> <li>2. In case any trainee enrolled in more than one training program in the same academic year, then s/he will have to be counted as separate trainee for every different training program in which s/he was enrolled.</li> </ol>	<ol style="list-style-type: none"> <li>1. Soon after the completion of the Enrollment process, the PB Agreement signed ITIs need to update the enrollment data on the National portal.</li> <li>2. The SPIU will consolidate the data on enrollment received from the PB Agreement signed ITIs and submit the same to the NPIU.</li> </ol>	Annual
	# 2	1.2. Percentage of trainees undergoing OJT across ITIs with signed PB Grant	<ol style="list-style-type: none"> <li>1. Indicator measures the number of trainees undergoing OJT across all ITIs with signed PB Grant Agreements in each academic year.</li> <li>2. This shall be counted for all dual</li> </ol>	<ol style="list-style-type: none"> <li>1. The ITIs will update the OJT data on the National portal.</li> <li>2. The SPIU will verify, validate and consolidate the data received from all the project</li> </ol>	Annual

Results Areas Supported By PforR	DLI	Indicator	Definition	Data Collection and Dissemination Method	Frequency
		Agreements	<p>training trades and other trades under CTS for which the curriculum has an OJT requirement.</p> <p>3. The minimum period of OJT for the purpose of this indicator shall be as prescribed in the curricula for dual training trades and two weeks per year for other CTS trades.</p> <p>4. OJT requirement may be fulfilled through training in any enterprise, including informal production centers and/or local industry and production centers.</p>	ITIs and prepare a comprehensive report and submit the same to the NPIU	
	# 6	2. Female enrollment rate in ITIs with signed PB Grant Agreements.	1. The Female enrolment rate refers to the total female trainees enrolled against total trainees enrolled in an academic year/training program in all the PB Grant Agreement Signed ITIs.	<p>1. Soon after the completion of enrollment process the PB Grant Agreement signed ITIs will update the data on the National portal. The data will also classify the trainees according to gender and social class.</p> <p>2. The SPIU will verify the data extracted from the National portal, consolidate the same and submitted it to NPIU.</p> <p>3. This need to be tracked in each academic year during the implementation period of the project.</p>	Annual
	# 2	3. Percentage of	1. Graduates refer to trainees from ITIs	1. The tracer study needs to be	5 <sup>th</sup> Year

Results Areas Supported By PforR	DLI	Indicator	Definition	Data Collection and Dissemination Method	Frequency
		graduates from ITIs that have signed PB Grant Agreements who are in gainful employment one year after graduation	<p>that have signed PB Grant Agreements, successfully completed the CTS program in an academic year and obtained/ eligible to obtain the National Trade Certificate.</p> <p>2. This will also measure the percentage of graduates who are gainfully employed or enrolled in an apprenticeship contract.</p> <p>3. Gainful employment refers to the employment situation where the employee receives consistent work and payment from the employer</p>	<p>conducted on the same with statistically sound and representative sample of all trades/stratum on PB Grant Agreement signed ITI graduates who have gainfully employed and self-employed or enrolled in an apprenticeship program. In addition, the study shall have adequate and statistically sound sample design</p> <p>2. Minimum coverage of 5 percent graduated and gainfully employed or enrolled in an apprenticeship program in a State covered under STRIVE is required.</p>	
# 2: Increased Capacities of State Governments to Support Industrial Training Institutes and Apprenticeship Training	# 3	4. Number of Participating States that have reduced the vacancies of sanctioned trainers' posts by at least 20% in government ITIs	<p>1. Participating states refer to those states that have signed PB Funding Agreement with the MSDE.</p> <p>2. Vacancy rate measures the share of posts filled either permanently or through contract teachers of the total sanctioned posts for NCVT trades in government ITIs. Regular posts refer to the Instructors appointed following recruitment process of the State Government and work as per Government policies. Contractual Instructors are those, who worked</p>	1. All the participating States will collect, collate and submit data through the National portal. This need to include total number of sanctioned posts of NCVT trades across all the Government ITIs in states signed PBFA. Number of such post filled in through both the regular and contractual instructors and sanctioned posts lying vacant.	Annual

Results Areas Supported By PforR	DLI	Indicator	Definition	Data Collection and Dissemination Method	Frequency
			<p>for the Government and their contract renewed annually or as per the State Governments discretion.</p> <p>3. Indicator is met if the vacancy rate is 20% lower than at baseline (2017/18) each participating state that met the target is counted once.</p>	<p>2. Tentative timeline to fill up such posts also need to be submitted by the States to NPIU. The SPIU will share such information with NPIU in the beginning of the academic year/ session/ program.</p>	
	# 4	4.1.Number of Participating States that have conducted tracer studies	1. Participating states refer to those states that have signed PB Funding Agreement with the MSDE.	<p>1. Tracer study will be carried out in participating states as per appended ToR in the operations manual.</p> <p>2. The tracer study report and other relevant data related to the study will be submitted to the NPIU. This will be considered completion of the study.</p>	Once in project period
		4.2.Percentage of trainees in government ITIs who are from ST populations	1. Indicator measures the percentage of trainees in government ITIs who are from ST populations.	1. The SPIUs need to measure the percentage share of Scheduled Tribe trainees enrolled across all the government ITIs during that academic session. While doing so, they are required to consider the State Reservation Policy on admission in ITI. The report need to reach the NPIU within <b>Three Months</b> of completion of admission/enrollment. The SPIUs will have to submit	Annual

Results Areas Supported By PforR	DLI	Indicator	Definition	Data Collection and Dissemination Method	Frequency
				share of ST trainees to total trainees enrolled during an academic session.	
# 3: Improved Teaching and Learning	# 3	5. Number of teachers who have completed pre-employment or in-service distance learning/blended modules	<ol style="list-style-type: none"> <li>This explains the number of Teachers / Instructors employed either in a government or private ITI in permanent or contract position.</li> <li>The teachers who have successfully completed at least one online or computer-based training module recognized by DGT shall be considered for the purpose.</li> </ol>	1. The data related to the teachers training be collected from the SPIU through the National Portal.	Annual From Year 2 Onward
	# 3	5.1.Number of CTS trades for which ICT-based teaching and learning packages have been developed and used	<ol style="list-style-type: none"> <li>The indicator will measure curricula for the CTS. This need to be a comprehensive new technology-based TL resource packages which have been developed by NIMI, in consultation with CSTARI, based on a curriculum revision and content development process.</li> <li>There must be evidence that the packages in consideration have been used in the teaching processes in at least 10 ITI.</li> </ol>	<ol style="list-style-type: none"> <li>Documents on teaching and learning packages developed by NIMI and CSTARI</li> <li>Use of developed module in ITIs.</li> </ol>	5 <sup>th</sup> Year
		5.2.Number of CITS trades upgraded and rolled out in distance learning/ blended mode	1. Indicator measures the number of CITS trades for which comprehensive new digital TL resource packages, incorporating effective use of video and computer-based multimedia as educationally appropriate, have been developed by NIMI, in consultation	<ol style="list-style-type: none"> <li>Data on CITS trades upgraded from NIMI / CSTARI</li> <li>Data on roll out of upgraded CITS trades in NSTIs</li> </ol>	2 <sup>nd</sup> and 4 <sup>th</sup> Year

Results Areas Supported By PforR	DLI	Indicator	Definition	Data Collection and Dissemination Method	Frequency
			<p>with CSTARI, using a curriculum revision and content development process, in order to offer the trades in a blended learning mode (comprising a combination of distance learning and face-to-face learning methods).</p> <p>2. There must also be evidence that the NCVT has offered the upgraded trade using these resource packages for enrollment in at least 2 NSTIs.</p>		
		5.3. Impact evaluation of work readiness pilot and girls' incentive pilot completed	<p>1. The indicator captures the completion of at least two studies. The first study will pilot and test the effectiveness of different interventions to increase girls' enrollment in labor market-relevant trades including introducing stipends and/or information campaigns.</p> <p>2. The second study will pilot alternative work readiness interventions to identify what is the most effective curricula and delivery mechanism for improving soft skills of students. Both studies will use a prospective randomized evaluation methodology to allow for casual estimates.</p>	1. Third-party service provider will be hired to design the pilot, develop the evaluation instruments (survey and so on), and collect the data.	1 <sup>st</sup> and 3 <sup>rd</sup> Year
# 4: Improved and Broadened Apprenticeship Training	# 5	6. Number of ICs that have introduced at least 2 different apprenticeship programs within their participating	1. Indicator refers to those ICs that have signed grant agreements with the MSDE and State under the Industry Apprenticeship Initiative (IAI) grant mechanism, and have introduced at least two different apprenticeship	<p>1. Enrollment lists to be submitted by ICs to SAMCs</p> <p>2. Apprentice Contract to be uploaded on the apprenticeship portal managed by NSDC.</p> <p>3. IAI Annual project report</p>	Annual



Results Areas Supported By PforR	DLI	Indicator	Definition	Data Collection and Dissemination Method	Frequency
		(member) industries	<p>programs within their participating (member) industries.</p> <p>2. Apprenticeship programs must be designed in accordance with the requirements of upgraded dual training programs as defined in the IAI guidelines of the OM. There must be evidence that at least 20 apprentices have been enrolled in each trade</p>		
	# 6	6.1.Number of ICs receiving IAI Grants that have reached a female enrollment of 20% in their respective apprenticeship programs	<p>1. Indicator measures the number of ICs that have signed grant agreements with the MSDE and State under the IAI grant mechanism that have at least 20% female enrollment in the apprenticeship programs introduced using the IAI grant funding.</p> <p>2. An IC which achieves the 20% female enrollment in any year is counted only once.</p>	<p>1. Data on women enrollment to be updated by the IC on the apprenticeship portal.</p> <p>2. SAMCs to report on the number of women apprentices' respective apprenticeship programs</p> <ul style="list-style-type: none"> <li>• Apprentice Contract with NSDC (for optional trade) and DGT (for designated trade)</li> </ul> <p>3. IAI Annual project report</p>	Annual

**Table 39: Methodology for Data collection (achievement of KPI)**

S No	KPI	Responsibility of compliance	Reports to be considered as source of Information	Method of monitoring	Population considered (for the Sample Size)
<b>Result Area 1: Improved Performance of ITIs</b>					
1	Percentage increase in number of graduates at the respective ITI	All ITIs which have signed PBGA	Annexure 20A: Quarterly Performance cum Achievement Report - For ITIs  It shall be further verified using one or more of the following: NCVT MIS Portal and/or other MIS Portals ( if the course is not a CTS trade) and/or Annexure 37: Template for Monitoring Results Area # 1: Improved Performance of Industrial Training Institutes	Review of reports by NPIU, SPIU, World Bank and/or their representatives  And/or Surprise Visits conducted, if any, by NPIU, SPIU, World Bank and/or their representatives	All ITIs which have signed PBGA
2	Increase in female enrolment rate across trades being conducted at the respective ITI	All ITIs which have signed PBGA	Annexure 20A: Quarterly Performance cum Achievement Report - For ITIs  It shall be further verified using one or more of the following: NCVT MIS Portal and/or other MIS Portals ( if the course is not a CTS trade) and/or Annexure 37: Template for Monitoring Results Area # 1: Improved Performance of Industrial Training Institutes	Review of reports by NPIU, SPIU, World Bank and/or their representatives  And/or Surprise Visits conducted, if any, by NPIU, SPIU, World Bank and/or their representatives	All ITIs which have signed PBGA

S No	KPI	Responsibility of compliance	Reports to be considered as source of Information	Method of monitoring	Population considered (for the Sample Size)
3	Percentage increase in total enrolments at the respective ITI	All ITIs which have signed PBGA	Annexure 20A: Quarterly Performance cum Achievement Report - For ITIs  It shall be further verified using one or more of the following: NCVT MIS Portal and/or other MIS Portals ( if the course is not a CTS trade) and/or Annexure 37: Template for Monitoring Results Area # 1: Improved Performance of Industrial Training Institutes	Review of reports by NPIU, SPIU, World Bank and/or their representatives  And/or Surprise Visits conducted, if any, by NPIU, SPIU, World Bank and/or their representatives	All ITIs which have signed PBGA
4	Increase in percentage of total trainees at the respective ITI who have undergone OJT as per the prescribed curriculum	All ITIs which have signed PBGA	Annexure 20A: Quarterly Performance cum Achievement Report - For ITIs  It shall be further verified using one or more of the following: NCVT MIS Portal and/or other MIS Portals (if the course is not a CTS trade) and/or Annexure 37: Template for Monitoring Results Area # 1: Improved Performance of Industrial Training Institutes and/or other proof detailing students undergoing OJT. These may also include copy of MoU signed with ITI and/or confirmation mail/letter from industry representatives detailing the proof of trainees undergoing OJT.	Review of reports by NPIU, SPIU, World Bank and/or their representatives  And/or Surprise Visits conducted, if any, by NPIU, SPIU, World Bank and/or their representatives	All ITIs which have signed PBGA

S No	KPI	Responsibility of compliance	Reports to be considered as source of Information	Method of monitoring	Population considered (for the Sample Size)
<b>Result Area 2: Increased State Capacities to Support ITIs and Apprenticeship Training</b>					
1	Development of career progression policy including recruitment, training and allied initiatives.	All states/UTs which have signed Performance-Based Fund Agreement for STRIVE	Annexure 13: Template for Career Sustainability Plan career progression policy submitted by States/UTs after approval by respective SSC	Review of reports by NPIU, World Bank and/or their representatives And/or Surprise Visits conducted, if any, by NPIU, World Bank and/or their representatives	All states/UTs which have signed Performance-Based Fund Agreement for STRIVE
2	Percentage Reduction in vacancies as proportion of sanctioned strength in ITI	All states/UTs which have signed Performance-Based Fund Agreement for STRIVE	NCVT MIS Portal	Review of reports by NPIU, SPIU, World Bank and/or their representatives And/or Surprise Visits conducted, if any, by NPIU, SPIU, World Bank and/or their representatives	All Govt. ITIs in respective States/UTs
3	Tracer studies conducted by the participating State/ UT	All states/UTs which have signed Performance-Based Fund Agreement for STRIVE	Tracer Study Report prepared basis Terms of Reference shared in Section 6.5 Tracer study consultants	Review of reports by NPIU, World Bank and/or their representatives And/or Surprise Visits conducted, if any, by NPIU, World Bank and/or their representatives	All states/UTs which have signed Performance-Based Fund Agreement for STRIVE

S No	KPI	Responsibility of compliance	Reports to be considered as source of Information	Method of monitoring	Population considered (for the Sample Size)
<b>Result Area 4: Improved and Broadened Apprenticeship Training</b>					
1	Signing of 'Tripartite Grant Agreement' between Government of India, State Government and each Industry Cluster	All ICs whose IC applications are approved by NSC	Annexure 16: Tripartite Grant Agreement for IAI	Review of reports by NPIU, SAMC, World Bank and/or their representatives And/or Surprise Visits conducted, if any, by NPIU, SAMC, NSDC SEO, World Bank and/or their representatives	All ICs whose IC applications are approved by NSC
2	Capacity development of staff of participating enterprises and other stakeholders	All ICs which have signed tripartite grant agreement	Annexure 20C: Quarterly Performance cum Achievement Report– for ICs  Annexure 15: Approved IAI plan captures the capacity building indicators including target, stakeholders i.e. trainers, training supervisors, AIC staff, HR managers of participating members.	Review of reports by NPIU, SAMC, World Bank and/or their representatives And/or Surprise Visits conducted, if any, by NPIU, SAMC, NSDC SEO, World Bank and/or their representatives	All ICs which have signed tripartite grant agreement
3	Signing of apprenticeship contracts between employer/Industry and	All ICs which have signed tripartite grant agreement	Annexure 20C: Quarterly Performance cum Achievement Report- for ICs  Annexure 15: Approved IAI plan captures the capacity building indicators	Review of reports  For Designated Trades – State Apprenticeship Advisor (SAA)	All ICs which have signed tripartite grant agreement

S No	KPI	Responsibility of compliance	Reports to be considered as source of Information	Method of monitoring	Population considered (for the Sample Size)
	apprentices as stated in IAI proposal		<p>including target, stakeholders i.e. trainers, training supervisors, Apprenticeship Implementation Cell (AIC) staff, HR managers of participating members.</p> <p>Apprentice contracts including the details of apprentices (gender), participating enterprises, trade etc. will be mapped against the approved IAI plan using below links</p> <p>Designated Trades – <a href="http://apprenticeship.gov.in">http://apprenticeship.gov.in</a></p> <p>Optional Trades – <a href="http://www.apprenticeshipindia.org/">www.apprenticeshipindia.org/</a></p>	<p>For Optional Trade – Sector Skill Council Concerned (if opted under National Apprenticeship Promotion Scheme (NAPS)) &amp; State Skill Development Mission (trades not covered under NAPS)</p> <p>And/or Surprise Visits conducted, if any, by NPIU, SAMC, NSDC SEO, World Bank and/or their representatives</p>	
4	Submission of project completion report	All ICs which have signed tripartite grant agreement	Completion Report submitted by ICs which have signed tripartite grant agreement	Review of report by SAMC	All ICs which have signed tripartite grant agreement

#### 4.3.5. Evaluation

The project design envisages greater levels of decentralization and accountability at the state and training delivery levels, together with a new results-based financing modality that will require additional capacity building. The purpose of evaluation/impact assessment study under STRIVE is to assess the outcome and impact of project intervention to achieve targets outlined.

The Project will be evaluated at the mid-term and end-term. Evaluation results will be used to:

- a) Track improvements in the enrollment, pass out, employment and wage outcomes of ITI graduates including women and candidates of scheduled tribes;
- b) Provide feedback on the relevance of training provided and areas for curriculum improvement to the NIMI /CSTARI/ NSTIs.
- c) Evaluate the impacts of institution-level reforms and institutional up gradation on employment and earnings of graduates relative to a comparison group of trainees not benefiting from the Project, and as compared to their own pre-Project ITI baseline averages.
- d) In addition, thematic reviews/studies for identifying emerging sectors, skill mix requirements, and employer surveys will also be undertaken.
- e) Undertake impact assessment study to find out the impact of the project intervention. The impact assessment will focus on the before and after project situation, with and without project impact.

##### 4.3.5.1. Impact evaluation

Impact evaluation will help the NPIU for better understanding on the extent to which activities reach the beneficiary, for whom the project has been designed. The Impact Evaluation (if required) will be undertaken during the project. This may be conducted through adoption of appropriate research methodology, sample design, sample size, statistical analysis and testing, interpretation and documentation. In order to find out the project impact, data, both quantitative and qualitative, will have to be collected from the project ITIs and ICs. The impact assessment will be undertaken over the baseline data and changes which have occurred therein after project implementation. For this purpose, Ex-ante and Ex-post evaluation method may be considered. The same may also be done with and without project ITIs and ICs to assess the broader impact of the project intervention. Ex-ante here refers to the baseline situation and Ex-post will be the situation after completion of project period or till such evaluation study is undertaken. For this purpose, project ITIs and ICs refer to the ITIs and ICs covered under STRIVE and without project ITIs and ICs are those, who are not covered under the project

#### 4.3.6. Tracer Studies

Tracer Studies of ITI graduates will be carried out by the States & UTs covered under the STRIVE project. The broad objective of such studies is to assess the employment outcomes of ITI graduates in their respective States/UTs.

Each participating state has to conduct at least ONE tracer study during the project duration. The tracer study will be undertaken in line with methodology, accepted and approved by the NPIU as per the terms of reference appended in Section 6.5, which shall include:

- i. Representative sample of trainees
- ii. Consideration and Sampling of both government and private ITIs
- iii. Representation of All Trades
- iv. Cover student background characteristics focus on gender, caste, location (rural/urban), education level, and household economic status.

The tracer study findings will be submitted to the NPIU in a report form. A tracer study will be considered to be complete, only after acceptance & approval of the same by NPIU and the precise findings are available on the project website for public access. A tracer study at national level for employment outcomes will also be conducted by NPIU in the final year.

#### 4.3.7. Other Studies

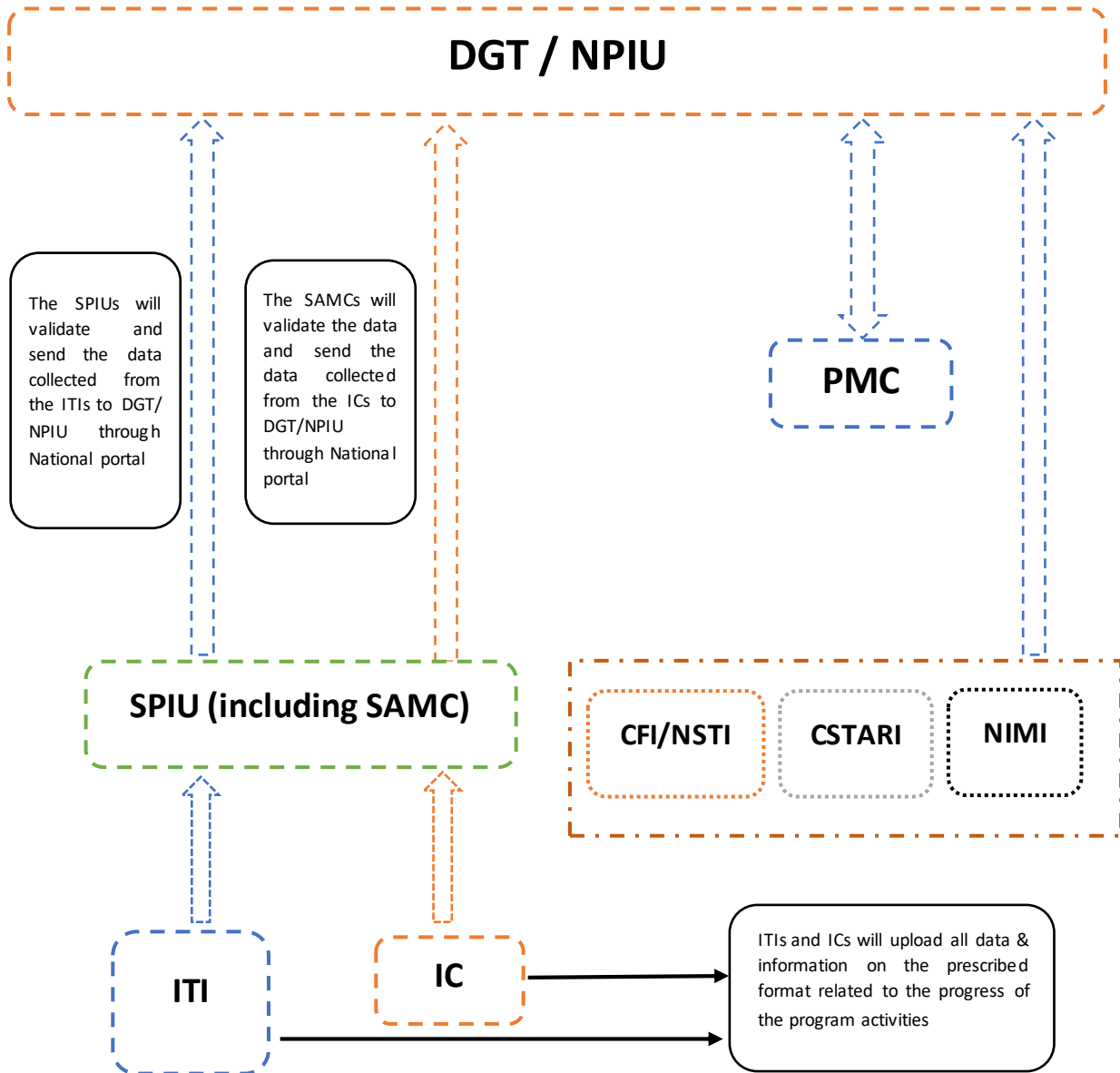
Other studies may be carried out during the project period to find out the short-term project impact on the project beneficiaries. These studies may be concurrent evaluation studies, thematic studies, case studies capturing information on success stories etc. However, the topics and themes of these studies will have to be conceptualized by respective domain experts.

#### 4.3.8. MIS

An important focus will be on establishing National portal as an effective Management information system (MIS) across the sector. As part of this, the project will ensure that the MIS is collecting all required data points and a special purpose data analytics dashboard is established to enable the specific monitoring requirements of the Results Framework and the DLIs. These data points will be subject to periodic randomized audits and third-party validation to ensure its accuracy. The mechanism for data flow of MIS can be seen from Figure 9



**Figure 9: MIS flowchart**



#### 4.3.9. Monitoring Reports

Monitoring reports will be shared by SPIUs (including SAMCs) with NPIU on monthly, quarterly and yearly basis. These reports will be in form of data from the NCVT MIS or similar National portal, field visit reports to the project ITIs and ICs, Independent Verification Agency’s (IVA) reports, tracer study reports. The reports will measure the progress of the project outcomes and create scope for corrective measures.

Four Quarterly Report periods shall be treated as First Quarter (August-October), Second Quarter (November-January), Third Quarter (February-April) and Fourth Quarter (May-July). The details of such reporting is given below:

**Table 40: Monitoring Reports (All Four result areas)**

Reports	Responsibility	Time Line
Quarterly Report	SPIU & SAMC	1 <sup>st</sup> -(August-October) by 15 <sup>th</sup> Nov, 2 <sup>nd</sup> -(November-January) by 10 <sup>th</sup> Feb 3 <sup>rd</sup> -(February-April) by 15 <sup>th</sup> May 4 <sup>th</sup> -(May-July) by 15 <sup>th</sup> August
Annual Report	SPIU & SAMC - NPIU	By 31 <sup>st</sup> August
Annual Report to MSDE	NPIU	By 20 <sup>th</sup> September

The Quarterly and Annual Report will cover both the physical and financial progress achieved during the year under observation. The NPIU will share required data to World Bank during JRM's.

Monitoring reports on allowed civil works, project progress reports such as consolidated quarterly reports, results of studies, annual reports etc. will be uploaded on project website on timely basis which will be accessible to the public.

#### 4.3.10. Monitoring Risks

**The monitoring and evaluation framework have below listed inherent systemic risks:**

- Data collection, analysis, reporting and management information system (MIS) skills are required to implement performance monitoring systems. Hence, the personnel operating MIS, should have both the project as well ICT knowledge. In the absence of such skilled personnel the MIS may not function as desired for the project.
- Capacity building of the Monitoring and Evaluation staff of SPIUs & SAMCs across all the States & UTs might take some time
- Likelihood of errors related to data entry & data Validation.
- Risk related to data not been updated by the implementing agencies in time
- Implementing performance monitoring systems may take 6–12 months.
- Ensuring data quality and reliability at each stage starting from data collection, upload, generation and submission of report
- Existing NCVT MIS may not fit adequately the requirements of STRIVE
- Dependency on NSDC owned data portals for data on short term courses in ITIs and optional trades by ICs.

#### 4.3.11. Monitoring Risks Mitigation Measures

**Table 41: Monitoring Risks and Mitigation Measures**

<b>Risks</b>	<b>Mitigation Measures</b>
<b><u>MIS or National portal</u></b>	A special purpose data analytics dashboard will have to be established to enable regular project monitoring against the specific monitoring requirements of the Result Area Framework, DLIs and KPIs.
<b>a) ITI</b>	The missing data points relevant for STRIVE in current NCVT MIS system to be addressed.
<b>b) Apprenticeships</b>	There are two portal for Apprenticeships – DGT for designated Trades and NSDC for optional Trades. There is no consolidated IC specific dashboards with data tackers. All stakeholders IC, SAMC and NPIU will be dependent on manual consolidation of data. An excel based offline sheet will be used to aggregate data against KPIs at least every month.  Access to this portal and extraction of required data & information on apprenticeship will help to mitigate the risk related to the apprenticeship.
<b>c) Financial Management</b>	Data on financial management will be captured through Designated Bank Dashboard. This will help in tracking the fund flow to various implementing agencies and its subsequent utilisation.  Integration of PFMS, banking system and National portal/ MIS for STRIVE will mitigate the risks on the same.
<b>Data Collection, Validation, Entry related risks</b>  (M&E Personnel Capacity Building)	<ul style="list-style-type: none"> <li>• Training to the personnel associated in data collection, validation, cleaning, entry and analysis may reduce the monitoring issues related to these activities.</li> <li>• Skilled personnel to be engaged in data collection process.</li> <li>• The SPIU and SAMC to develop and use data validation protocol and implement the same.</li> <li>• Robust validation system for data entry and analysis by Independent / Third Party Validation agency</li> </ul>
<b>Integration of National Portal with external portals</b>	<ul style="list-style-type: none"> <li>• The proposed national portal for data of STRIVE needs to be integrated with external data portals used for information on designated trades and short term skill development courses managed by NSDC.</li> </ul>

All the templates to be used for monitoring and evaluation activities have been appended in Annexure 37 for ITIs, Annexure 38 for States and Annexure 39 for ICs.

#### 4.3.12. IVA for Data Verification

The progress of achievements under STRIVE project will be monitored internally by the NPIU. However, to validate data and information provided by the implementation agencies,

an Independent Verification Agency (IVA) will be appointed by the NPIU. The IVA as the third party will not be a part of STRIVE project implementation.

The IVA needs to conduct periodic validation of the authenticity of the data & information provided by the IAs as a part of project progress. The IVA has to prepare report on the findings related to the achievement against agreed physical targets of IAs.

Before undertaking validation, the IVA has to prepare and submit detailed methodology for data collection, which include: Sample Design, Sample Size, Data Collection and Data Analysis protocol focusing on the activities pertaining to the DLIs outlined for all four Result Areas. The IVA will cover all implementation agencies and will select sample SPIUs, SAMCs, ITIs and ICs for each cycle by adopting appropriate statistical significance sample size determination method in line with DLI verification protocol as mentioned in the financing agreement. In order to determine the sample size, the minimum Confidence Level of 95% and P-Value of 5% and / or Sample Error  $\pm 5\%$  need to be followed. Besides, IVA will ensure the statistically significant representation of project States, Union Territories, ITIs, ICs etc. and cover all the IAs during the implementation of the STRIVE project.

#### 4.4. Environment and Social Systems

The interventions planned under STRIVE are expected to result in substantial social and environmental benefits to the society at large, especially to the poor and vulnerable sections. Adverse impacts that are sensitive, diverse, and unprecedented on the environment and/or people are not foreseen. However, planned efforts are essential to ensure that the proposed interventions do result in sustainable social and environmental benefits.

- a. All ITIs under STRIVE should have trade specific safety equipment and gear that is in good working condition and used as per best industrial practices for the individual trades; and students are aware of best safety practices for their specific trade. All ITIs shall demonstrate good environmental practices.
- b. Industry Clusters(ICs) where apprentices are hired should have good Occupational Health and Safety standards, as identified for the specific industrial activity, and ensure safety of the apprentices through provision of appropriate gear and works space safety; instructions and support to ensure the safety of apprentices. All organizations and industries hiring apprenticeships should also ensure appropriate waste management standards and good environmental practices, as prescribed by existing national and state regulations to ensure a clean and safe work environment.

Additionally, at the National Level (NPIU) and at the State level (SPIU), there will be a nodal officer who shall address environment and social systems related concerns for the implementation of the STRIVE project. There shall also be a nodal person to implement identified environment and social systems actions at the ITI level.

The details on the nodal officers are as follows:

##### 4.4.1. Environmental and Social Nodal Officer -NPIU

There will be a nodal officer at NPIU level who shall address environmental and social systems related concerns for the implementation of the STRIVE project.

1. The Officer will be part of the NPIU and will report to National Project Coordinator.
  - a. The Nodal (Environmental and Social) Officer will be responsible for the overall coordination of all environment and social systems related activities in order to ensure that there is no violation of statutory provisions, standard protocols and identified environment and social systems rules and procedure. The Officer will support the NPC in implementing environment and social system related activities, and will provide guidance and support, as required.
  - b. The Officer will be responsible for planning, formulation and coordination of the environment and social system activities.
2. **Specific responsibilities** of the Officer will include the following:
  - a. Monitor implementation of environment and social system regulations relevant for project implementation
  - b. Ensure environment and social system information is available and regulations updated at national/state and ITI level

- c. Monitor activities adhere to existing regulations
- d. Ensure relevant capacity building courses and syllabus are incorporated in training activities
- e. Ensure apprenticeships include appropriate Occupational, health and safety (OHS) actions to safeguard apprentices
- f. Ensure OHS standards for all trades taught in the ITIs are met
- g. Include environment and social system related actions as a part of ITI M&E actions from state level
- h. Ensure water supply, sanitation and drainage, and waste disposal systems, are in place in ITIs being monitored
- i. Ensure adequate toilet, washing and other required water supply and sanitation systems have been provided for men, women and the handicap as required
- j. Ensure there are handicap friendly systems are in place, such as ramps to access classrooms, appropriate indicators for the visually or hearing impaired
- k. Promote green buildings, water saving and energy efficient systems, where possible
- l. Ensure availability of funds for water supply, sanitation, drainage and waste systems and monitor the quality of the systems in place
- m. Develop and include an environment and social system checklist including provisions for continued sustainability of environmentally appropriate and safe interventions to be a part of regular ITI monitoring activities and ensure that it is used as a part of the regular monitoring activities
- n. Identify gaps in ITIs in the implementation of environment and social systems and work with National/State and ITI team to address them
- o. Outreach strategies: At present very few ITIs make special efforts to reach out to the community, as a result, people who know about the course through friends and relatives enroll for the same. It is suggested that a more creative mobilization strategy should be designed which will enable the community to understand the courses offered and future career progression. This could include convening prospective students' parents to the institute and give them a detailed tour. This meeting can also have participation by the local industries and other business houses/associations
- p. Women's participation: Women are typically offered courses like cutting, sewing and so on, which are not only gendered but are not relevant in today's market. A shift will be made to improve outreach among women and encourage ITIs, as a part of their Institute Strategic Plan (ISP), to launch new market-oriented courses will for women. This also involves supporting ITIs becoming female-friendly with appropriate toilet and restroom facilities for women, in addition to safe and clean spaces for lactation/children. In addition,

to ensure that women benefit from these new openings and can access ITI's provisions can be made to reimburse transport costs for female trainees.

### **3. Reporting and Communication**

- a. The Officer will report to the NPC, but may communicate directly with the implementing agencies for environment and social systems related works.
- b. For strategically important decisions regarding the duties (assignments), the Officer needs to obtain approvals of the NPC or appropriate authorities from time-to-time.
- c. Prepare Monthly Progress (or as defined under the project) Reports for all environment and social systems related activities;
- d. Prepare Minutes from the meetings with the environment and social systems consultants, if any, appointed for project purposes.

### **4. Meetings**

The Officer will,

- a. Participate in the Project Steering Committee meetings/Joint Review Mission, if required;
- b. Have regular/periodical meetings or discussions with the state level environmental and social systems nodal in-charge, to ensure required environmental and social systems are being implemented properly;
- c. Have regular meetings with the consultants, suppliers and contractors, in order to monitor the progress of their work;
- d. Organize/attend ad-hoc meetings, when necessary.

### **5. Qualifications and Experience**

Candidates with following qualifications may be selected by nomination or on deputation.

- a. Essential Qualifications:
  - i. A B.E. or B.Tech. preferably with an engineering degree in civil/environmental engineering or an environment degree or equivalent from a recognized university, or having at least 5 years of experience in managing environment issues/ITIs.
  - ii. Should have proficiency and strong communication skills in English and the local language.
  - iii. Should have knowledge of Information Technology (IT) & Computer skills including database management.
- b. Desired Qualifications:
  - i. Candidate should be able to deliver results without any supervision and able to work independently, conversant with environmental monitoring tools and techniques and familiarity with State

Government and National standard procedures and practices will be given preference.

- ii. Experience of working in government as a consultant/staff in similar projects

#### 4.4.2. Environmental and Social Nodal Officer - SPIU

There will be a nodal officer at SPIU level who shall address environmental and social systems related concerns for the implementation of the STRIVE project.

1. The Officer will be part of the SPIU and will report to the State Project Director.
  - a. The Nodal (Environmental and Social) Officer will be responsible for the overall coordination of all environment and social systems related activities in order to ensure that there is no violation of statutory provisions, standard protocols and identified environment and social systems rules and procedure. The Officer will support the State Project Director in implementing environment and social system related activities, and will provide guidance and support, as required.
  - b. The Officer will be responsible for planning, formulation and coordination of the environment and social system activities.
2. **Specific responsibilities** of the Officer will include the following:
  - a. Monitor implementation of environment and social system regulations relevant for project implementation
  - b. Ensure environment and social system information is available and regulations updated at state and ITI level
  - c. Monitor activities adhere to existing regulations
  - d. Ensure relevant capacity building courses and syllabus are incorporated in training activities
  - e. Ensure apprenticeships include appropriate Occupational, health and safety (OHS) actions to safeguard apprentices
  - f. Ensure OHS standards for all trades taught in the ITIs are met
  - g. Include environment and social system related actions as a part of ITI M&E actions from state level
  - h. Ensure water supply, sanitation and drainage, and waste disposal systems, in place in ITIs being monitored
  - i. Ensure adequate toilet, washing and other required water supply and sanitation systems have been provided for men, women and the handicap as required
  - j. Ensure there are handicap friendly systems are in place, such as ramps to access classrooms, appropriate indicators for the visually or hearing impaired



- k. Promote green buildings, water saving and energy efficient systems, where possible
- l. Ensure availability of funds for water supply, sanitation, drainage and waste systems and monitor the quality of the systems in place
- m. Develop and include an environment and social system checklist to be a part of regular ITI monitoring activities and ensure that it is used as a part of the regular monitoring activities
- n. Identify gaps in ITIs in the implementation of environment and social systems and work with National/State and ITI team to address them
- o. Outreach strategies: At present very few ITIs make special efforts to reach out to the community, as a result, people who know about the course through friends and relatives enroll for the same. It is suggested that a more creative mobilization strategy should be designed which will enable the community to understand the courses offered and future career progression. This could include convening prospective students' parents to the institute and give them a detailed tour. This meeting can also have participation by the local industries and other business houses/associations
- p. Women's participation: Women are typically offered courses like cutting, sewing and so on, which are not only gendered but are not relevant in today's market. A shift will be made to improve outreach among women and encourage ITIs, as a part of their Institute Strategic Plan (ISP), to launch new market-oriented courses will for women. This also involves supporting ITIs becoming female-friendly with appropriate toilet and restroom facilities for women, in addition to safe and clean spaces for lactation/children. In addition, to ensure that women benefit from these new openings and can access ITI's provisions can be made to reimburse transport costs for female trainees.

### **3. Reporting and Communication**

- a. The Officer will report to the State Project Director, but may communicate directly with the implementing agencies in the State/UT for environment and social systems related works.
- b. For strategically important decisions regarding the duties (assignments), the Officer needs to obtain approvals of the Director or appropriate authorities from time-to-time.
- c. Prepare Monthly Progress (or as defined under the project) Reports for all environment and social systems related activities;
- d. Prepare Minutes from the meetings with the environment and social systems consultants, if any, appointed for project purposes.

#### **4. Meetings**

The Officer will,

- a. Have regular/periodical meetings or discussions with Environmental and Social Nodal Officer at NPIU for implementation of the project
- b. Have regular/periodical meetings or discussions with the ITI level environmental and social systems nodal in-charge, to ensure required environmental and social systems are being implemented properly;
- c. Have regular meetings with the consultants, suppliers and contractors, in order to monitor the progress of their work;
- d. Organize/attend ad-hoc meetings, when necessary.

#### **5. Qualifications and Experience**

Candidates with following qualifications may be selected by nomination or on deputation.

- a. Essential Qualifications:
  - i. A B.E. or B. Tech. preferably with an engineering degree in civil/environmental engineering or an environment degree or equivalent from a recognized university, or having at least 5 years of experience in managing environment issues/ITIs.
  - ii. Should have proficiency and strong communication skills in English and the local language.
  - iii. Should have knowledge of Information Technology (IT) & Computer skills including database management.
- b. Desired Qualifications:
  - i. Candidate should be able to deliver results without any supervision and able to work independently, conversant with environmental monitoring tools and techniques and familiarity with State Government and National standard procedures and practices will be given preference.
  - ii. Experience of working in government as a consultant/staff in similar projects

##### **4.4.3. Nodal (Environmental and Social) Person- ITI**

There shall also be a nodal person to implement identified environmental and social systems actions at the ITI level.

#### **1. Scope of Work**

The Person will be a member of staff of the ITI and will report to the Principal, and liaise with the Environmental and Social Systems Nodal Officer at the SPIU as required. The Environmental and Social Systems Nodal Person will be responsible for the overall coordination of all environment and social systems related activities

in order to ensure that concerns identified in the Environment and Social Systems Assessment (ESSA), existing environment and social systems legislation and statutory provisions, standard protocols and identified environmental management rules and procedure are implemented as required. The Nodal (Environmental and Social) Person will support the Principal of the ITI implement environment and social systems related activities, and will provide day-to-day guidance and support, as required.

## **2. Tasks and Responsibilities**

The Nodal (Environmental and Social) Person will be responsible for planning, formulation and coordination of the environment and social systems management activities. The Nodal Person will be part of the ITI and also based in the ITI and will report to the Principal in implementing required Environmental and Social System. Specific responsibilities for the Nodal (Environmental and Social) Person will be:

- a. Ensure water supply, sanitation and drainage systems are in place and working
- b. Ensure safety of building, during planned and designed, and at part of day-to-day functioning. This could include ensure there are no obstacles in case of an emergency evacuation and availability of proper signage
- c. Conduct safety drills and disaster awareness in the ITI
- d. Ensure appropriate staff trained and assigned tasks in case of any disaster
- e. Ensure appropriate safety and disaster management systems in place and functional, such as alarms, the right fire-fighting equipment, first aid
- f. Ensure occupational health and safety (OHS) is practiced in workshops, such as, safety gear worn by students and staff, which also should be in good order
- g. Identify any extra OHS needs and discuss with principal for procurement of additional requirements.
- h. Waste management in buildings and disposal of waste and identify systems for awareness on proper waste handling and disposal in the ITI place.
- i. Ensure all permits, such as might be required to store or dispose waste are in order and the ITI adherence to relevant environment and social system related legislation
- j. Work with state level Nodal (Environmental and Social) Officer to provide monitoring reports and support, as required to ensure sustainability of environmental interventions
- k. In case of any disaster, work with principal to ensure appropriate action and management during the disaster
- l. Ensure, for any apprenticeships identified by ITI, partner institutes offering the apprenticeships provide OHS equipment for the apprentices
- m. Implement Strategy for inclusion as part of ISP- ISPs should specify the incremental increase in enrollment and passing out, the institute would

achieve in respect of the SCs/STs, women, Other Backward Classes (OBCs), differently abled, and other minorities. Arrangements should be made for creation and continuous updating of disaggregated data on these lines. Means as well as resources required to achieve these self-driven targets also should find a place in this plan.

- n. Institutional development- Corresponding to the trades chosen, full-time regular/contractual qualified and trained staff should be available in requisite number in each institution.
- o. Outreach strategies. At present very few ITIs make special efforts to reach out to the community, as a result, people who know about the course through friends and relatives enroll for the same. It is suggested that a more creative mobilization strategy should be designed which will enable the community to understand the courses offered and future career progression. An attempt by use of social contacts and societal platforms as well as prospective students' parents' visit to the institute may be planned. This meeting can also have participation by the local industries and other business houses/associations
- p. Enforcement of Vishaka Guidelines/Internal Complaints Committee (ICC). According to law, all ITIs should have a committee against sexual harassment. The ITI should enforce and facilitate this.

### **3. Reporting and Communication**

- a. The Nodal Person will report to the ITI Principal, but may communicate directly with the sector institutions implementing the project for environment and social system related works, and liaise with the SPIU Nodal (Environmental and Social) Officer, as needed.
- b. For strategically important decisions regarding the duties (assignments) described in the Terms of Reference, from time-to-time the Officer needs to obtain approvals of the ITI Principal or from the SPIU, as the case might be.
- c. Prepare Monthly Progress (or as defined under the project) Reports for all environment and social system related activities

### **4. Meetings**

The Nodal (Environmental and Social) Person will,

- a. Participate in the ITI planning meetings, if required;
- b. Have regular/periodical meetings or discussions with the Nodal (Environmental and Social) Officer, to ensure required environment and social systems are being implemented properly;
- c. Have regular meetings with the consultants, suppliers and contractors, in order to monitor the progress of their work, if required;
- d. Organize/attend ad-hoc meetings, when necessary.

## **5. Qualifications and Experience**

Candidates with following qualifications may be selected by nomination or on deputation.

a. Essential Qualifications:

- i. A member of the ITI teaching staff with an engineering degree from a recognized university, with at least 5 years of experience in ITI management.
- ii. Should have knowledge of IT & Computer skills including database management

b. Desired Qualifications:

- i. Candidate able to deliver results without any supervision and able to work independently, conversant with environment and social system related monitoring tools and techniques and familiarity with State Government and National standard procedures and practices will be given preference.
- ii. Experience in similar projects.
- iii. Previous experience in implementing environment and social system

## 5. GRIEVANCE REDRESSAL

### 5.1. Redressal mechanism

All states need to have institutional mechanisms for grievance redressal. National Project Implementation Unit (NPIU) and States will nominate a nodal officer to address the grievances and get them documented. At the state level, the grievance redressal committee will be formed under the leadership of a person of the rank of a Director. The ITIs, principals, instructors, students, apprentices, partners such as Basic Training Provider (BTP), Training Provider (TP) and member enterprises of the Industry Cluster (IC) can raise grievances at the state level. The states will develop and integrate grievance redressal portal on websites of Industrial Training Institute (s) (ITI) and State Directorates. A unique complaint reference number will be generated by the system enabling tracking of grievance redressal from logging in stage to satisfactory resolution. The states will develop the escalation matrix to enable complainant to appeal against the resolution provided at current level. Records need to be maintained at the state level in files on all issues together with notes on actions taken.

- SPIU shall initiate immediate action on receipt of complaints to redress the grievances.
- All offline complaints on receipt should be entered in a register.
- All complaints should be handled at a level higher than that of the level at which the evaluation/ procurement process is being undertaken.
- If allegations are found correct, appropriate remedial measure should be undertaken by the higher administrative authorities.
- If an individual staff is found responsible, suitable disciplinary proceedings should be initiated, against such staff under the applicable conduct rules.
- An appropriate response should also be sent to the complainant.
- The report in the prescribed Performa (as Annexure 40) must be submitted to NPIU in order to ensure its closure. The closure report must have feedback from complainant covering his/her satisfaction on the resolution provided.
- IC is encouraged to setup grievance redressal committee to address any concerns from apprentices and participating enterprises.

In addition to an online grievance redressal mechanism, a dedicated toll-free helpline will be assigned for the project. This number should be displayed on project portals and at ITIs. Complaints will be received by professionals trained to receive and register grievances and should include a female call-center professional. Grievances received through the helpline will be recorded as established above.

**Table 42: Grievance Redressal**

Level	Appellate Authority	Resolution timelines
1	State Project Implementation Unit (SPIU)	Within 30 days of receiving complaint
2	National Project Implementation Unit (NPIU)	Within 60 days of receiving complaint

The grievance redressal portal should also cover the redressal of procurement related grievances as highlighted in Section 4.2.8.

## 6. TECHNICAL ASSISTANCE AND TECHNICAL SUPPORT

There is a provision for Technical Assistance (TA) and Technical Support (TS) under STRIVE for providing funds to augment capabilities of the authorities in planning and implementing the project. Technical Assistance (INR equivalent of USD 5 million) is funded with 100% World Bank support and Technical Support (INR 188 crore) is 100% financed by Government of India. The activities financed under TA will be as per World Bank procurement and financial management procedures. The activities financed under TS will be subject to Government of India procurement and financial management procedures. The details will follow in subsequent sections.

Funds will be used to pay for specific expenditures such as professional services for project management and assessment studies. In particular, the TA and TS components will complement the PforR (Program for Results) by helping develop and implement monitoring and assessment tools, mobilize special sector expertise required for the successful execution of the project, and design and implement pilot interventions.

### **i. PMC**

A PMC (Project Management Consultancy) has been hired using the TA component for implementation support to the National Project Implementation Unit (NPIU), assisting in major policy and system reform activities, strengthening the public and private sector institutions for skill development by reducing their capacity constraints, both at the Central and State level.

The PMC comprises of key experts in project management, Monitoring & Evaluation, skills development, apprenticeship training and financial management and procurement.

### **ii. State Project Implementation Unit (SPIU)**

States are the focal point of the project and are responsible for successful implementation of the project. The states will be involved in selection of other state level implementation agencies (ITIs and ICs) and further physical & financial monitoring of progress against mutually agreed Key performance indicators. To facilitate the states for better coordination and robust project management, a provision for establishment of SPIUs in each state has been kept in TS component. The SPIUs will comprise of functional units as defined in Operations Manual.

### **iii. Monitoring and Evaluation activities**

Monitoring and Evaluation (M&E) activities for STRIVE, including impact evaluations and qualitative assessments of project results, development of a comprehensive Management Information System (MIS) system, in-depth review of the effectiveness of new interventions (including the institutional grading, use of technology for distance learning, and other allied activities) will be supported by both the TA and TS component.

### **iv. Third-party Verification**

An Independent Verification Agency (IVA) will be hired by the NPIU using funds from the TA component, for verifying the achievement of project targets (against the Disbursement



Linked Indicators (DLIs)) based on the Verification Protocol agreed between Ministry of Skill Development and Entrepreneurship (MSDE) and the World Bank. The disbursement of funds from the World Bank will be subject to this verification.

**v. Beneficiary Feedback Studies on vulnerable groups and girls including gender study**

Qualitative studies, funded under the TA component, will be carried out to examine the challenges and access constraints faced by youth who have participated in the project. Studies will also be undertaken to understand what factors, in addition to access constraints, also strongly influence the chances for successful education-to-work transition of vulnerable groups even after participating in skilling programs.

## 6.1. SPMC

### INDICATIVE TERMS OF REFERENCE

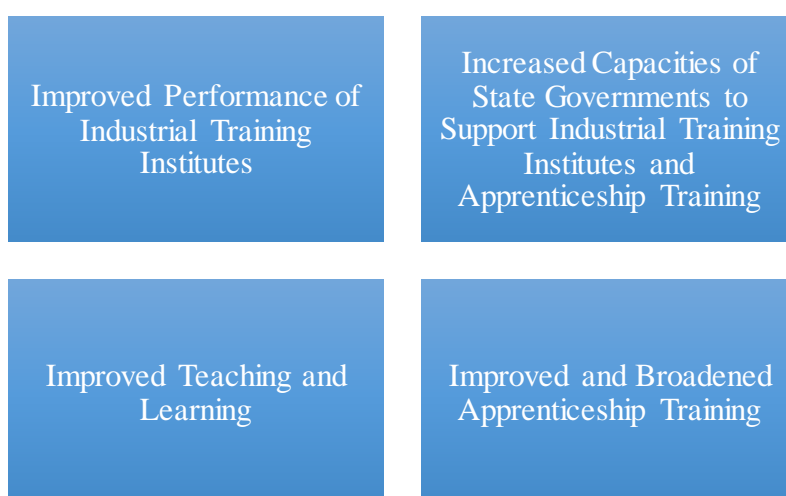
#### Hiring of Project Management Consultants for Supporting the SPIU under Project STRIVE

##### 1. Background

The Government of India (GoI) introduced its National Policy for Skill Development and Entrepreneurship in 2015. A policy implementation framework is provided by the National Skill Development Mission (NSDM). The mission reflects the Government's commitment to skilling opportunities for economically disadvantaged/underserved communities and developing a globally competitive workforce. The mission also seeks to shift toward outcome-focused training provision and establishes and enforces cross-sectoral, nationally and internationally acceptable standards for skill training by creating a sound quality assurance framework. The national Skills Strengthening for Industrial Value Enhancement (STRIVE) project has been developed by the GoI with World Bank assistance to incentivize the critical institutional reforms required in the institutional training systems—defined as the Industrial Training Institute (ITI) and apprenticeship—to meet the GoI's commitment to providing skilling opportunities for economically disadvantaged/underserved communities and developing a globally competitive workforce. The key objective of STRIVE is to improve the quality and market relevance of vocational training provided through ITIs and apprenticeship.

##### 2. STRIVE

STRIVE is divided into four results areas:



STRIVE is to improve access to quality and market-driven vocational training provided in ITIs and apprenticeships. The project aims to improve access to quality and market-driven vocational training provided in ITIs and apprenticeships. It consists of a PforR instrument that is comprised of four results areas and is complemented by a TA component financed through Investment Project Financing (IPF). The major activities under STRIVE includes:

- a) Performance-based grants for up-gradation of selected ITIs
- b) Performance-based funding to state governments to incentivize reforms in state management of ITIs and apprenticeship training
- c) Overhauling curricula and Teaching and Learning resources in selected key Craftsmen Training Scheme (CTS) programs
- d) Enhancing distance and blended learning in pre-employment and in-service teachers training
- e) Incentivizing SME participation in modern apprenticeship training through grant funding of industry apprenticeship initiatives (IAIs) System development, capacity development, and advocacy for apprenticeship training
- f) Project Management Support for Strategic Technical Assistance for Improving Efficiency and Monitoring and Evaluation
- g) Provide TA to support a coordinated, coherent, and evidence-based approach to the critical activities that are expected to be change agents in skills development.

Specifically, (a) Project implementation support, including strengthening the institutional capacities of the National Project Implementation Unit (NPIU) and State Project Implementation Units (SPIUs) and the recruitment of a project management consultant (PMC); (b) the facilitation of policy development and the implementation of regulatory reforms in the skills sector; (c) piloting innovative interventions focused on improving training and employment outcomes for girls, including introducing stipends to foster women participation in labor market and collection of information on labor market returns to different trades; (d) the carrying out of monitoring and evaluation (M&E) activities including impact evaluations and qualitative assessments of project results; (e) the carrying out of beneficiaries feedback studies examining demand and supply challenges faced by youth and vulnerable/marginalized groups, with specific focus on girls; and (f) the carrying out of third-party validation of the project results

### **3. Objectives**

At the national level, the NPIU supported by the central PMC will lead the overall M&E arrangements of the project. Activities undertaken by the NPIU on M&E include (a) periodic project progress reviews; (b) consolidating and disseminating information on project progress reports (including reporting on youth satisfaction with project design and delivery, fiduciary performance, and safeguards compliance); (c) reporting on DLI achievements and providing evidence according to the agreed verification protocols; and (d) commissioning surveys, studies, and assessments as necessary. At the subnational level, implementing agencies will be responsible for preparing and submitting annual reports on implementation progress.

To support these reporting processes, the central PMC will design standardized reporting templates to ensure that project reports provide clear and transparent progress updates on all relevant aspects of the project Results Framework and DLIs.

[Name of Procuring Entity] is actively participating in the implementing the STRIVE project in the state of [Name of State/UT]. A State Steering Committee (SSC) has been

formed to guide the implementation of project in the State. A State Project Implementation Unit (SPIU) has been formed, to assist the SSC for the implementation of the project. The SPIU will appoint a nodal officer responsible for social and environmental system managing all related activities at state level and co-ordinate with officer at national level for periodic reports.

At the state level, SPIUs will be responsible for providing fiduciary guidance, implementation, monitoring, and facilitation of STRIVE. Under STRIVE, the National Project Implementation Unit (NPIU) and State Project Implementation Unit (SPIUs) will therefore be supported through dedicated PMCs (central PMC for NPIU and State PMCs for SPIUs). Central PMC will be funded through the STRIVE's TA component – funded by World Bank while State PMCs will be funded through STRIVE's Technical Support (TS) – funded by GoI.

The SPIU intends to hire consultants [Note to SPIUs: either on an individual ad-hoc basis or through recruitment of a firm] to provide project management consultancy services to assist SPIU in all activities for STRIVE. The State Project Management Consultancy (SPMC) will be a consultancy team comprising key experts in project management, M&E, procurement and apprenticeship training. However, the composition of the PMC will be as defined in Section 4 [Procuring Entity to decide the positions required in line with Operations Manual of STRIVE].

#### 4. Composition of SPMC

**Table: SPMC positions**

S. No.	Position	Number of Positions, If, SPIU is managing	
		More than 90 Govt. ITIs	Between 16 and 90 Govt. ITIs
1	Project Leader	01	01
2	Monitoring and Evaluation Specialist	01	01
3	Institutional Development / ITI including Environmental and Social System Specialist	02	01
4	Financial cum Procurement Specialist*	01	01
5	Communication Specialist*	01	01
	Total Positions	06	05

\*Deployed from time to time on need basis

#### 5. Scope of Services

The PMC at state level will assist the SPIU and the project Implementation Units (PIUs). The selected consultants are expected to engage with the SPIU and co-ordinate with the NPIU at the national level, to ensure specific outcomes in areas related to implementation of STRIVE in the state. The selected consultant shall also provide periodic project specific

reports on the one or more of the Result Areas of STRIVE. The SPMC will provide technical and implementation support and assist the SPIU in achieving the result areas under the project, by focusing on following key function areas and outputs:

- Overall Project Leadership,
- Monitoring and Evaluation
- Financial and Procurement Management,
- Institutional / ITI Development including Environmental and Social System
- Communications and Communications Strategy

The SPMC will help with aspects of project management including preparing the implementation plans, managing the rollout of, different activities in a sequenced and coordinate manner, undertaking monitoring and evaluation, and tracking the social, gender and environmental management aspects of the STRIVE Project in the State. The SPMC will be in-charge of appraising the key result areas, assisting in procurement, providing implementation support, enhancing community awareness, ensuring quality and transparency. The SPMC will also establish and update the project performance monitoring system, and flag potential problems, and possible solutions for the consideration of the SPIU/NPIU in a timely manner

The title, agreed job description, minimum qualification Experts and time-input estimates to carry out the Services of each of the Consultant's Key Experts are described. For the purpose of meeting these responsibilities, the SPMC need to position following Key Experts to perform respective roles:

## 6. Team Composition & Qualification Requirements for the Key Experts

Nature of Experts	No. of Position	Number of Person Months for a year	Qualification	Experience	Indicative ToR
Team Leader	1	6	Master Degree /Ph. D in technical field	Minimum of 15 years professional experience including working on projects with international funding agencies and ITIs.	Lead project implementation and oversee all technical and managerial decisions related to delivery including M&E systems, capacity building, and stakeholder management; Act as technical expert on sectoral trainings, including collaboration with business and industry in support of labor market needs; Provide technical guidance in relevant project areas; Serve as key expert in delivering Management trainings for Institutional Heads. Ensure quality oversight of all products and services provided by the project. Evaluate the impact of training, the efficacy of the Training projects, Training methodologies in use, on an ongoing basis. Set up a certification process for instructors and institutional heads. Produce professional project/ project reporting documentation including experience monitoring, submitting and analyzing budgets project/ project Key Performance Indicator (KPI)s, effectiveness and efficiency indicators; Liaise with state and central officials on project implementation and periodically assess project progress. Take mid-course corrective action as required.
M & E Specialist	1	12	He / She will possess relevant university degree in social sciences, or equivalent. Master's degree	Previous experience of minimum 15 years in conducting baseline assessments, M&E, proven skills in data analysis and statistics, proven ability to design	The M&E Specialist will develop a survey design required for undertaking a baseline survey for the ITIs. This will include reviewing the project logic, theory of change, and existing monitoring and evaluation frameworks, making recommendations on adjustment of indicators as necessary and determining the appropriate sampling methodology. The proposed study design must have sufficient rigor for ensuring the information reported is

Nature of Experts	No. of Position	Number of Person Months for a year	Qualification	Experience	Indicative ToR
			or higher in engineering, economics, social sciences or equivalent discipline.	and develop data bases and excellent communication & report writing skills in English. At least 5 years of experience in government projects, preferably in TVET sector	within the 95% confidence levels; Develop the necessary survey questionnaires and focus group discussion and key informant interview methodology in consultation with the SPIU. A sufficient pre-testing regime will be required to verify that the questionnaire is suitable for generating the information required; Conduct and oversee survey implementation; Develop an appropriate database and undertake analysis of the data generated; Provide statistically significant information regarding the outlined indicators; Provide recommendations for future data collection and evaluation. A final report including the below required information: An executive summary; An overview of the applied methodology; An overview of quantitative/ qualitative data collected and analyzed; Specific findings as they relate to the specific objectives of the project. Maintaining the project MIS at the State/UT level. Monitoring the implementation of the project on a day-to-day basis. Liaising with the Monitoring and Evaluation Specialists at the national level, providing information on issues (problems and solutions) for the national clearinghouse. Assisting the M&E Specialist at the national level to incorporate baseline data on the performance of institutions into the MIS. Implementing and overseeing procedures for the regular monitoring of performance of institutions participating in the project. This will include procedures for assisting with ad hoc surveys (such a tracer studies and surveys of employers' attitudes). Undertaking regular field visits in order to monitor institutions using a simple checklist and consolidate quarterly monitoring reports based on the checklists.

Nature of Experts	No. of Position	Number of Person Months for a year	Qualification	Experience	Indicative ToR
Institutional Development / ITI Specialist	1 or 2	12 or 24	Minimum B.Tech. / BE	10 + years with good industry exposure. experience in vocational education and training delivery Professional, fluency in English, curriculum development and writing skills	Serve as a SME for the assigned sector/ domain as part of a multi-member team tasked with training ITI instructors. Carry out audience profiling studies and assess the current knowledge levels of the participants. Provide inputs and update the curriculum basis the emerging needs of the industry and not limited to the National Council for Vocational Training (NCVT) / SCVT/ Sector Skill Council syllabus. Develop custom training modules & learning resources for the Instructors for the new areas identified based on contemporary learner-centered, reflective practice methodologies. Design projects and assignments mapping to the competencies to be achieved. Liaise with Department of Technical Education (DTE)/SPIU and Project Consultants to discuss the training project and finalize content. Design and develop training session plans, customized to the needs of the participants. Conduct and facilitate on-site sessions based on the agreed training plan, off-line discussions as well as any assignments/ projects. Help participants in query resolution. Prepare reports on the training project conducted based on the agreed templates. Conduct assessments and evaluation of each participant and prepare a Developmental Action Plan in agreement with DTE/SPIU. Incorporate OJT components in the training. Act as a coach and mentor for development of the participants
Financial cum Procurement Specialist	1	Need basis	CA or Master's degree or higher in finance, economics,	At least 10 years of experience working in financial and procurement	A Chartered Accountant with at least 10 years of relevant experience in managing accounts for financial/ banking sector. He/she will: Manage funds flow: inflows from WB/GoI loan, permitted investments, banking facilities, disbursement requests,



Nature of Experts	No. of Position	Number of Person Months for a year	Qualification	Experience	Indicative ToR
			management or equivalent, with diploma or training in contracts and procurement management	management, with at least 5 years of experience in government projects	accounting, and auditing (internal); Audit accounts of SPIU with respect to the projects funded under the STRIVE; Review Governance structures within the organization. Review financial arrangements in place. Determine whether satisfactory actions have been taken against previous external audit and internal audit recommendations. Assess the adequacy and effectiveness of the internal controls in operation including key processes such as fund flow, cash and bank operations, procurement of goods and services, asset management, human resource and payroll, donor compliance and financial reporting and statutory compliances. Review compliance with all relevant and applicable policies and procedures, and audit and other reporting requirements of the STRIVE project. Determine compliance with relevant donor contractual reporting requirements. Review the adequacy of support structures including HR, Logistics and IT. Assist the statutory auditor in the performance of statutory audit. Preparing annual estimates and budget for the project at State/UT level and submitting to NPIU. Ensuring timely release of funds for project related activities at State/UT level e.g., to ITIs and ICs. Ensuring maintenance of project accounts as per standard procedures in the SPIU and in ITIs. Preparing quarterly Utilization Certificates (UCs) and ensure their timely submission to NPIU. Ensuring the timely preparation and submission of monthly/quarterly claims for reimbursement to NPIU. Coordinating submission of annual audit report from State/UT to NPIU and timely compliance of audit observations. (S)he should ensure adequate coverage, scope and

Nature of Experts	No. of Position	Number of Person Months for a year	Qualification	Experience	Indicative ToR
					<p>timely and satisfactory response to observations by internal auditors. Reviewing and monitoring financial management arrangements for the project at ITIs and ICs.</p> <p><b>Procurement:</b>  Ensuring full knowledge and systematic application, including key staff of relevant State/UT officials, of the World Bank's procurement and consultancy guidelines along with norms as defined in procurement manual of STRIVE. Managing the procurement of works, goods and consultancies required for State/UT level activities under the project and manage the procurement of consultancies. Preparation of Procurement Plan at the State level. In case where ITI prepares procurement Plan, the Procurement officer would ensure training at the ITI level. Assist in executing National Competitive Biddings. Liaising with the Procurement Officer at the national level, providing information on issues (problems and solutions) for the national clearing house. Acting as a support and reference person for all project-related procurement tasks. Submitting quarterly procurement progress reports to the SPIU Director. Acting as first line of contact for dealing with enquiries and complaints regarding procurement referred to the SPIU.</p>
Communication Specialist	1	Need basis	He/she should have a degree in Journalism or	At least 7 to 10 years relevant experience with Comprehensive	A communications/media specialist with preferably 7 years of relevant experience of working in state would be preferred. He/she should have a degree in Journalism or Media Studies,

Nature of Experts	No. of Position	Number of Person Months for a year	Qualification	Experience	Indicative ToR
			Media Studies, Master's degree or higher in Mass Communication or equivalent	understanding of modern methods of communication, and good communication skills. Managing communications including content development, communication strategies and community outreach, with at least 5 years of experience in government projects	comprehensive understanding of modern methods of communication, and good communication skills. Knowledge of the local languages and culture will be a plus. The communication specialist will undertake the following: (i). Refine the Communication Strategy and Consultation and Participation (C&P) Plan as required and help in implementing it effectively. (ii). Develop a communication project which will consist of but not be limited to, laying down a vision, identifying opportunities and challenges, and preparing a plan of action. It will specify the core messages, internal and external audiences, communication channels, types of media, frequency of dissemination, and feedback etc. (iii). Coordinate with the other consulting firms engaged under the project to prepare user- friendly information, education and communication related materials during project implementation such as advertisement clippings, and web page etc. Prepare news items covering education and skill development related work of the project and give it for approval to the SPIU/NPIU. Undertake media tracking of coverage of different events to keep the project team informed of current viewpoints and issues and provide guidance to the SPIU on communication related issues, as per the requirements. Facilitate case studies of best practices and lessons learned and disseminate these to internal and external audiences.

### **Monitoring and Evaluation Specialist:**

The Monitoring and Evaluation Specialist is expected to assist the SPIU in the delivery of the following duties:

- Maintaining the project MIS at the State/UT level.
- Monitoring the implementation of the project on a day-to-day basis.
- Liaising with the Monitoring and Evaluation Specialists at the national level, providing information on issues (problems and solutions) for the national clearinghouse.
- Assisting the Monitoring and Evaluation Specialist at the national level to incorporate baseline data on the performance of institutions into the MIS.
- Implementing and overseeing procedures for the regular monitoring of performance of institutions participating in the project. This will include procedures for assisting with ad hoc surveys (such as tracer studies and surveys of employers' attitudes).
- Undertaking regular field visits in order to monitor institutions using a simple checklist and consolidate quarterly monitoring reports based on the checklists. Propose any corrective action that needs to be taken.

### **Financial Management cum Procurement Specialist:**

The Financial Management cum Procurement Specialist is expected to assist the SPIU in the delivery of the following duties:

#### **Finance:**

- Assist in managing the funds provided for State/UT level activities under the project, including monitoring project accounts and costs.
- Liaising with the Finance Officer at the national level, providing information on issues (problems and solutions) for the national clearinghouse.
- Acting as a support and reference person for all project-related financial management tasks.
- Preparing annual estimates and budget for the project at State/UT level and submitting to NPIU.
- Ensuring timely release of funds for project related activities at State/UT level e.g., to ITIs and ICs.
- Ensuring maintenance of project accounts as per standard procedures in the SPIU and in ITIs.
- Preparing quarterly Utilization Certificates (UCs) and ensure their timely submission to NPIU.
- Ensuring the timely preparation and submission of monthly/quarterly claims for reimbursement to NPIU.
- Coordinating submission of annual audit report from State/UT to NPIU and timely compliance of audit observations. (S)he should ensure adequate coverage, scope and timely and satisfactory response to observations by internal auditors.

- Reviewing and monitoring financial management arrangements for the project at ITIs and ICs.

### **Procurement:**

- Ensuring full knowledge and systematic application, including key staff of relevant State/UT officials, of the procurement and consultancy guidelines as defined in the section on procurement in the Operations Manual.
- Managing the procurement of works, goods and consultancies required for State/UT level activities under the project and manage the procurement of consultancies
- Preparation of Procurement Plan at the State level. In case where ITI prepares procurement Plan, the Procurement officer would ensure training at the ITI level.
- Assist in executing National Competitive Biddings.
- Liaising with the Procurement Officer at the national level, providing information on issues (problems and solutions) for the national clearing house.
- Acting as a support and reference person for all project-related procurement tasks.
- Submitting quarterly procurement progress reports to the SPIU Director.
- Acting as first line of contact for dealing with enquiries and complaints regarding procurement referred to the SPIU.

### **Institutional Development / ITI Specialist:**

The Institutional Development / ITI Specialist is expected to assist the SPIU in the delivery of the following duties:

- Raising stakeholders' awareness of the project objectives and eligibility criteria for financing.
- Contributing to the work plans of the SPIU.
- Evaluating ISPs and providing written advice on them to the SSC.
- Undertaking quality audits of institutions participating in the project.
- Conducting orientation project for Institute Management Committee (IMC) (or equivalent) and Industry Cluster (IC) members.
- Identifying training needs in a participatory way and preparing plans for meeting the training needs of ITIs' principals and instructors, and IC managers and trainers.

### **Communication Specialist:**

The Communication Specialist is expected to assist the SPIU in the delivery of the following duties:

- Assist in managing external and internal communications, including controlling the dissemination of information
- Develop effective communication strategies for any outreach project under STRIVE
- Draft content (e.g. press releases) for mass media or website
- Organize initiatives and plan events or press conferences

- Liaison with media
- Assist in communication of strategies or messages from senior leadership
- Evaluate the impact on social media (reach and engagement)
- Provide short-term training/capacity building support; as required.
- Coordinate to compile articles and produce a newsletter highlighting achievements
- Produce relevant human-interest stories highlighting the impact
- Maintain up to date contacts list of stakeholders at state level.

## 7. Reporting Requirements and Time Schedule for Deliverables/Completion of Tasks

The SPMC is expected to produce the following deliverables against the amount that will be disbursement:

**Table: Deliverables and Timelines**

Deliverable	Timeline
Periodic reporting on project status ( <i>period may be decided by the State</i> )	Periodically
Assisting SPIU in Design Phase of the Project	T <sub>0</sub> + 3 month
Assisting the SPIU in Implementation of the four Intervention Modules	T <sub>0</sub> + 24 months

Payment for the services provided shall be paid on a three monthly (indicative) basis. The consultant shall submit to the Client, invoice at time intervals of every three months (indicative) for the preceding three-month period.

The consultants should be able to mobilize and start work within week / 2 weeks' time period after the contract is awarded. The agency will work hand in hand with SPIU and will be guided and supervised by the SSC and the State Directorate for Technical Education/Vocational Training on STRIVE. For all purposes the selected firm will be reporting to the Principal Secretary/Project Director, or the representative appointed by SPIU.

After the selected consultant is contracted, it will prepare a detailed work plan for the year in consultation with the SPIU and submit it to the SPIU for approval. The report should preferably outline the proposed ways of working of the team and detail out a plan, outlining priority tasks for the first three months in areas where the SPIU will need specific support. On the basis of this plan, it should list out the priority action points.

The firm will prepare monthly/fortnightly progress reports on activities and progress made with reference to the project objectives. The progress report will include:

- a) Progress against each Result Area / objective with brief description of activities;
- b) Summary of any issues and concerns that need to be discussed;

- c) A section outlining action plans for the next quarter;
- d) Current status of all project DLI / KPIs and results indicators as per the Project's Results framework.

The report should also include an annex listing activities taken up in the last quarter. The reports will form the basis for a review and discussion on the progress of implementation by the NPIU and the World Bank. The progress report will be sent to the Client no later than the 3rd day of the next reporting month.

A key activity of the selected consultant's team will be the transfer of knowledge, with the aim that eventually the NPIU and SPIUs have developed a cadre of trained staff with the necessary experience and appropriate skills to managing the later stages of the project and similar future projects. This transfer of knowledge and skills will be both through working closely with SPIU staff as day to day tasks are carried out, formal training (e.g. small classes, workshops, etc.) and regular reviews of duties of SPIU staff and their implementation.

#### **8. Client's Input and Counterpart Personnel including Data and Facilities to be Provided by the Client (SPIU)**

- i. Give access to all the required documents, correspondence and any other information associated with the project and assignment, as felt necessary by SPIU in discussion with the Consultant.
- ii. Provide administration support in coordination with NPIU/ITIs/ICs to facilitate timely implementation of the assignment

All the equipment shall be used by the Consultant for the entire duration of the assignment and would be handed over to the SPIU upon completion of the assignment.

#### **9. Composition of review committee to monitor consultants work**

The SSC will review the implementation of the project throughout its lifecycle, including monitoring the work of the SPMC. The SPMC will work in coordination with the SPIU, and State Project Director will ensure that the work of the consultants is monitored, and that they are provided any necessary guidance and support required for the work assigned.

#### **10. Copyright**

All materials and documents used/generated while working on STRIVE in the state will be the sole property of the State Directorate for Technical Education/Vocational Training. The Consultant will submit the same to the SPIU.

Unless otherwise indicated, all reports and relevant data and information such as maps, diagrams, plans, databases, other documents and software' supporting records or material compiled or

prepared by the Consultant for the SPIU in the course of the Services shall be confidential and become and remain the absolute property of the SPIU. The Consultant shall, not later than upon termination or expiration of this Contract' deliver all such documents to the SPIU, together with a detailed inventory thereof- The Consultant may retain a copy of such documents, data and/or software but shall not use the same for purposes unrelated to this Contract without prior written approval of the SPIU.

If license agreements are necessary or appropriate between the Consultant and third parties for purposes of development of the plans, drawings, specifications, designs, databases, Other documents and software the Consultant shall obtain the prior written approval to such agreements, and the Client shall be entitled at its discretion to require recovering the expenses related to the development of the project(s) concerned- Other restrictions about the future use of these documents and software, if any, shall be specified.



## 6.2. SAMC

*[ToRs are under development in consultation with stakeholders and final version would be shared with States]*

### 6.3. Internal auditors

## **Terms of Reference for Internal Audit of Project Financial Statements of Beneficiaries/States &UTs Skills Strengthening for Industrial Value Enhancement (STRIVE)**

### **Background**

Skills Strengthening for Industrial Value Enhancement (STRIVE) is a national project of the Ministry of Skill Development and Entrepreneurship (MSDE) to incentivize critical institutional reforms in the formal ITI and apprenticeship training system aimed towards supporting the Government's commitment to develop a globally competitive workforce and to provide skilling opportunities for economically disadvantaged and underserved communities. The project is scheduled to run over five years from 2017-18 to November 2022 and is an Externally Aided Plan (EAP) supported by the World Bank.

At the national level, long-term skills development is coordinated by the Directorate General of Training (DGT) in the Ministry of Skill Development and Entrepreneurship (MSDE). Apprenticeship training is managed under the aegis of the MSDE with Regional Directorates of Apprenticeship Training (RDATs) and state apprenticeship advisers driving implementation at the ground ITIs are under state governments, which own, run, and fund government ITIs and supervise private ITIs.

STRIVE Project for its implementation through National Project Implementation Unit (NPIU), consisting of government staff that is now an integrated unit of the MSDE and in charge of managing all major reform projects in the space of long-term training. The responsibility to coordinate and facilitate the implementation of STRIVE and provide overall fiduciary guidance at the ministerial level rests with the existing NPIU. Similarly, at the state level, SPIUs will be responsible for providing fiduciary guidance, implementation, monitoring, and facilitation of STRIVE. The ITIs will be monitored continually by the National Steering Committee (NSC) and by State Steering Committees (SSCs), which prepare semi-annual progress reports. Under STRIVE, the NPIU and SPIUs will therefore be supported through a dedicated PMC funded respectively through the STRIVE's TA and TS component. For Industry Clusters (ICs), the State Apprenticeship Monitoring Committee (SAMC) will be the nodal point for selection, evaluation and monitoring of ICs. The SAMC exists within SPIU but liaises with SPIU and SSC for all matters related to ICs. The PMC is a consultancy team comprising key experts in project management, M&E, skills development, and apprenticeship training.

### **Funding Pattern**

The estimated cost of the national STRIVE project is INR 2,200 crores (US\$318 million) over five years. The proposed World Bank Operation comprises INR 830 crores (US\$120 million) project using the PforR instrument and an INR 35 crore (US\$5 million) TA Project using the IPF instrument. The proposed World Bank Operation supports the entire government project.

### **Performance Based Funding**

STRIVE is a Performance Based funding – Program for Results (PforR) exercise. The use of the Program for Results (PforR) instrument is particularly suited to achieving the Government of

India's (GoI) results-based objectives, as it allows for improvement of the Systems and Institutions that are critical to the implementation of the GoI project. The instrument will ensure a sharp focus on the most important results the GoI wants to achieve (that is, improve relevance and efficiency of vocational training), allow for flexibility in the end use of funds by states and training institutions, support the development of state-level capacities to manage ITIs more effectively, incentivize introduction of performance-based management principles, and strengthen output and outcome monitoring.

## **1. Result areas**

To achieve this objective, the project is divided into four result areas:

### **(a) Improved Performance of ITIs**

Performance-based grant funding to selected government and private ITIs to improve institutional performance by deepening industry linkages, improving courses in line with market needs, better targeting marginalized groups including women, Scheduled Castes (SCs) and Scheduled Tribes (STs), developing capacities of teaching staff and broadening employment promotion services.

### **(b) Increased Capacities of State Governments to support ITIs and Apprenticeship Training**

Performance-based grants to state governments to improve state structures for the management and support of ITIs and apprenticeship training, for evaluation and monitoring and for developing teaching resources; and to improve the regulatory environment for ITI operations.

### **(c) Improved Teaching and Learning**

Investment in the development of modern, technology-supported teaching and learning resources for (i) Craftsmen Training Scheme (CTS) and apprenticeship training programs, and (ii) pre-and in-service trainers' training programs, as well as upgrading selected technical trainer training institutes, such as National Skill Training Institutes (NSTIs).

### **(d) Improved and Broadened Apprenticeship Training**

Grant funding for Industry Apprenticeship Initiatives (IAIs) carried out by industry clusters to strengthen industry initiatives, increase the participation of SMEs in apprenticeship training, and improve the quality of apprenticeship training programs.

## **Objectives of Internal Audit:**

The essence of the STRIVE project audit policy is to ensure that the STRIVE Project implementation agencies receives adequate, independent, professional, audit assurance that the proceeds of STRIVE project funds were used for the purposes intended, that the audit reports are free from material mismanagement and that terms of the loan agreement are complied with in all material respects. The objective of STRIVE is to improve the quality and market relevance of vocational training provided in ITIs and apprenticeships.

The objectives of the internal audit are to enable the auditor to express a professional opinion on the effectiveness of the overall financial management and procurement arrangements. It has to be

ensured that the overall financial management and arrangements including the system of internal controls as documented as per the Financial Management Section & Procurement Section of the STRIVE Operations Manual. It is expected that the process of audit shall be in position to provide to project management with timely information on financial management and procurement aspects of the project, including internal controls and compliance with financing agreements, to enable follow-up action.

In addition, it is expected that internal audit should play a role in assisting management to ensure no improper utilization of fund, including the prevention, detection and investigation of fraud as part of “Bringing a systematic, disciplined approach to evaluate and improve the effectiveness of risk management, control and governance processes”.

**Proposed Implementation/ Funds Flow Arrangements**

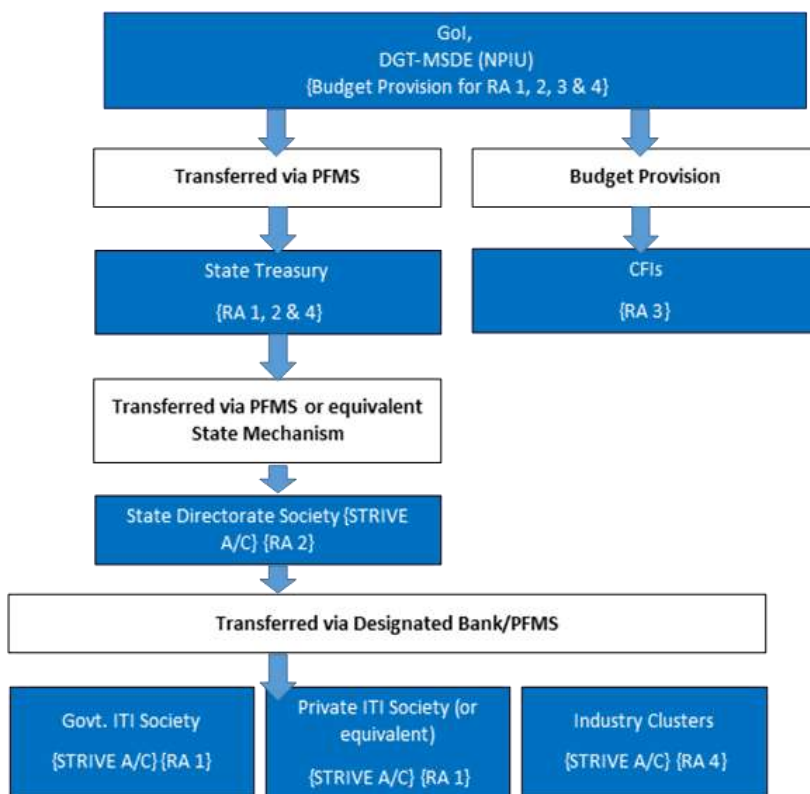
The Directorate General of Training (DGT) will be provided the budget for the Project and will further pass on the funds to the States implementing the project.

ITI Principals / IMCs are designated as drawing and disbursement officers and draw funds from designated Society STRIVE Account for payments through State Societies

Each office which makes payments is required to maintain separate Bank Accounts and separate Books of Accounts and records as per the State government procedure.

**Fund Flow procedures – Result area Wise**

Fund flow procedure (as above) explained diagrammatically below



## 2. Project Financial Statements

The Project Financial Statements (PFS) should include:

- A Summary of Funds received Result area-wise by NPIU and SPIUs
- A Summary of Expenditures shown under the main project result areas/ activities/ headings and by main categories of expenditures, both for the current fiscal year and accumulated to date; and
- A Balance Sheet showing Accumulated Funds of the Project, bank balances, other assets of the project, and liabilities, if any. If any Beneficiary under the project can not maintain a Balance Sheet on account of its existing accounting system, the PFS of such Beneficiary should include in the form of a statement–(Statement in lieu of Balance Sheet) at the end of every financial year (a) unspent bank balance of the project (b) category-wise assets purchased by the beneficiary from project funds with date of such purchase along with its location (c) project related unpaid bills/liabilities as at year end

## 3. Scope

### Internal Audit

In conducting the internal audit, special attention should be paid to assessing whether adequate controls have been established and complied with to ensure that:

- GoI funds have been provided and used in accordance with the relevant agreements with States, UTs, Govt. ITIs, Private ITIs, Central Institutes and Industry Clusters with due attention to economy and efficiency, and only for the purposes for which they were provided;
- Goods and services financed have been procured in accordance with the relevant financing agreement and procurement norms as laid out in the operations manual;
- All necessary supporting documents, records, and accounts have been kept in respect of all project ventures including expenditures reported via Statement of Expenditures.
- The project accounts have been prepared in accordance with consistently applied Indian Government Accounting Standards in this respect and give a true and fair view of the financial situation of the project at the year end and of resources and expenditures for the year ended on that date.
- The Internal Auditor would require verify the procurement processes being followed at the ITIs, ICs and State Societies are as per Procurement Guidelines under STRIVE project as per **para 4.2 of the OM**. The internal audit report must report on any variation in the procurement process as laid by the Procurement Guidelines in the OM

### Coverage of Internal Audit extends to

- An assessment of the adequacy of the financial management systems, including internal controls. This would include aspects such as adequacy and effectiveness of

accounting, financial and operational controls and any needs for revision; level of compliance with established policies, plan and procedures; reliability of accounting systems, data and financial reports; creating controls mechanism in areas where they are lacking; verification of assets and liabilities, security and effectiveness of the operation of the computerized system and,

- Efficiency and timeliness of the funds flow mechanism at the SPIU, SAMC, Industry Cluster (IC), Central Staff Training and Research Institute (CSTARI) & National Instructional Media Institute (NIMI) and at the ITIs. (Through MIS Reports)
- Whether the accounts are compiled in a timely manner and the expenditures consolidated on a monthly/Half Yearly basis at the SPIU Level.
- Verify payment to the third parties are as per agreement.
- All necessary supporting documents, records, and accounts have been kept in respect of all Result area wise activities and that clear synchronizations exist between accounting records, accounts books and the periodic financial reports (internal and external i.e. Interim unaudited Financial Reports)
- The auditor is expected to obtain and satisfactorily document sufficient audit evidence to support audit conclusions.
- Internal auditors to summarize key issues and risks from a review of Annual / Statutory Audit report.
- Auditor will also provide variance report as per approved annual action plan and budget.
- Auditor to certify that the utilization certificates of funds at each Beneficiary are prepared Result area Wise and provided to respective SPIU / NPIUs as the need arises

#### **4. Final Output & Reporting**

- a. **Half Yearly Reporting & Annual reporting at SPIU:** The Auditor will provide separate consolidated reports on SPIUs, SAMCs, project ICs and project ITIs in the State under STRIVE to State Audit Committee with a copy to SPIU.. The reports will be provided **Half Yearly** and a summary of the key findings, implications and recommendations to enable the SPIU to take timely action. Audit observations/reports should be discussed and agreed with the state audit review committee and should be structured in a manner giving the observations, the implications of the observations, the suggested recommendation and the management comments/ agreed actions. The audit observations should be supported by instances and quantified, as far as practicable. **Half Yearly** audit reports and annual audit report to be submitted each financial year. Discussion notes duly signed by the both parties will be part of audit Report. Minutes of meeting of State Audit Committee detailing the observations of internal auditors and action taken by SPIU on the observations.

**The audit reports should be submitted within 30 days after completion of Half Yearly audit. Any delay beyond 30 days for any Half Yearly report attracts the termination of the contract without any financial liability of the client.**

## **b. Reporting Procedure**

Procedure of conducting audit at SPIUs/SAMCs, project ITIs and project ICs in the State :

- The auditor shall inform the implementing agencies before the start of Audit.
- The auditor should give detailed work plan for conducting audit at SPIUs and other implementing agencies
- The auditor should make audit project and plan for SPIUs and other implementing agencies in coordination with their accounts & finance team.
- Feedback as necessary can be given to the management on the outcome of the Audit from time to time. Information about any discrepancies can be shared with the management for rectification/clarification.
- During the audit the Internal Audit team shall interact with management staff for any clarification. For the clarification, the audit team will present their findings in the common platform.
- The auditor shall interact with the management before furnishing of any report.
- The plan shall be finalized in consultation with management at the implementing agency level.
- The detail approach and methodology should be provided by the auditor themselves in the RFP.

## **5. Period of Internal Audit.**

Initially contract with the firm will be for three years which will be extended further two years based on the performance. The selected firm will submit audit plan in consultation with SPIU in advance and agree with a Schedule of Audit. The contract will be renewed after assessing the pace of implementation, requirement and performance of the Internal Auditor.

## **6. Qualification Criteria for short listing of Internal Audit Individual/Firm**

Internal Auditors will be hired by the SPIUs

- a. For States having five or less ITIs, an Individual Auditor would be preferred rather than a Firm. For States having six or more ITIs, it would be a Firm of Chartered Accountants.
- b. Experience of having undertaken at least 5 similar assignments (Internal Audit Assignments) with Central/state Government/externally aided projects **in India**, in last 10 years.
- c. The Chartered Accountancy Firm so hired in States having at least six ITIs or more shall have at least 6 CA Partners. The break up details to be provided are (i) Partners of Firm i.e. number of full time-chartered accountant partners (ii) paid chartered accounts of firm must also be provided

- d. An undertaking from the internal auditor regarding their non-engagement as external auditor/statutory auditor with implementing agencies in the State.



## 6.4. External auditors

### **Terms of Reference for Statutory Audit of Project Financial Statements of States Skills Strengthening for Industrial Value Enhancement (STRIVE)**

#### **Background**

Skills Strengthening for Industrial Value Enhancement (STRIVE) is a national Project of the Ministry of Skill Development and Entrepreneurship (MSDE) to incentivize critical institutional reforms in the formal ITI and apprenticeship training system aimed towards supporting the Government's commitment to develop a globally competitive workforce and to provide skilling opportunities for economically disadvantaged and underserved communities. The Project is scheduled to run over five years from 2017-18 to November 2022 and is an Externally Aided Plan (EAP) supported by the World Bank.

At the national level, long-term skills development is coordinated by the Directorate General of Training (DGT) in the Ministry of Skill Development and Entrepreneurship (MSDE). Apprenticeship training is managed under the aegis of the MSDE. The designated trades are to be managed by DGT and the optional trades by MSDE through National Skill Development Corporation (NSDC). ITIs are under State Governments, which own, run, supervise and fund Government ITIs. Private ITIs are owned by Societies / Trusts /private individuals.

STRIVE Project towards its implementation has set up a National Project Implementation Unit (NPIU) under DGT, consisting of government staff that is an integrated unit of the MSDE and is in charge of managing all major reform projects in the space of long-term training in India. The responsibility to coordinate and facilitate the implementation of STRIVE and provide overall fiduciary guidance at the ministerial level rests with National Project Implementation Unit (NPIU). Similarly, at the state level, State Project Implementation Units (SPIUs) set up under Vocational Training Improvement Program (VTIP), and would be continued under STRIVE Project, will be responsible for providing fiduciary guidance, implementation, monitoring, and facilitation of STRIVE. The project will be monitored by the National Steering Committee (NSC) and by State Steering Committees (SSCs), which prepare semi-annual progress reports. Under STRIVE, the NPIU and SPIUs will therefore be supported through a dedicated PMC at national and state level directly funded through the STRIVE's Technical Assistance (TA) and Technical Support (TS) respectively. For Industry Clusters (ICs), the State Apprenticeship Monitoring Committee (SAMC) will be the nodal point for selection, evaluation and monitoring of ICs. The SAMC exists within SPIU but liaises with SPIU and SSC for all matters related to ICs. The PMC is a consultancy team at NPIU and SPIU comprising key experts in project management, M&E, skills development, and apprenticeship training.

The objective of STRIVE is to improve the quality and market relevance of vocational training provided in ITIs and apprenticeships. The STRIVE Project is effective from February 8, 2018.

## **Funding Pattern**

The estimated cost of the national STRIVE project is INR 2,200 crores (US\$318 million) over five years. The proposed World Bank Operation comprises INR 830 crores (US\$120 million) project using the Program for Results (PforR) instrument and INR 35 crore (US\$5 million) TA Project using the Investment Project Financing (IPF) instrument.

## **Performance Based Funding**

STRIVE is a Performance Based funding – Program for Results (PforR) instrument. The use of PforR instrument is particularly suited to achieving the Government of India's (GoI) results-based objectives, as it allows for improvement of the Systems and Institutions that are critical to the implementation of the GoI project. The instrument will ensure a sharp focus on the most important results the GoI wants to achieve (that is, improve relevance and efficiency of vocational training), allow for flexibility in the end use of funds by states and training institutions, support the development of state-level capacities to manage ITIs more effectively, incentivize introduction of performance-based management principles, and strengthen output and outcome monitoring.

## **Result areas**

To achieve this objective, the Project is divided into four result areas:

### **1. Improved Performance of ITIs**

Performance-based grant funding to selected government and private ITIs to improve institutional performance by deepening industry linkages, improving courses in line with market needs, better targeting marginalized groups including women, Scheduled Castes (SCs) and Scheduled Tribes (STs), developing capacities of teaching staff and broadening employment promotion activities.

### **2. Increased Capacities of State Governments to support ITIs and Apprenticeship Training**

Performance-based grants to state governments to improve state structures for the management and support of ITIs and apprenticeship training, for evaluation and monitoring and for developing teaching resources; and to improve the regulatory environment for ITI operations.

### **3. Improved Teaching and Learning**

Investment in the development of modern, technology-supported teaching and learning resources for (i) Craftsmen Training Scheme (CTS) and apprenticeship training programs, and (ii) pre-and in-service trainers' training programs, as well as upgrading selected technical trainer training institutes, such as National Skill Training Institutes (NSTIs)

### **4. Improved and Broadened Apprenticeship Training**

Grant funding for Industry Apprenticeship Initiatives (IAIs) carried out by industry clusters to strengthen industry initiatives, increase the participation of SMEs in apprenticeship training, and improve the quality of apprenticeship training programs.

### Proposed Implementation/ Funds Flow Arrangements

The DGT will be provided the budget for the Project and will further pass on the funds to the States and Union Territories implementing the project. These funds will be transferred to the State Treasury through PFMS.

ITI Principals / IMCs are designated as drawing and disbursement officers and draw funds from designated Society STRIVE Account for payments through State Societies.

Each office which makes payments is required to maintain separate Bank Accounts and separate Books of Accounts and records as per the State government procedure.

### **Fund Flow procedures – Result area Wise**

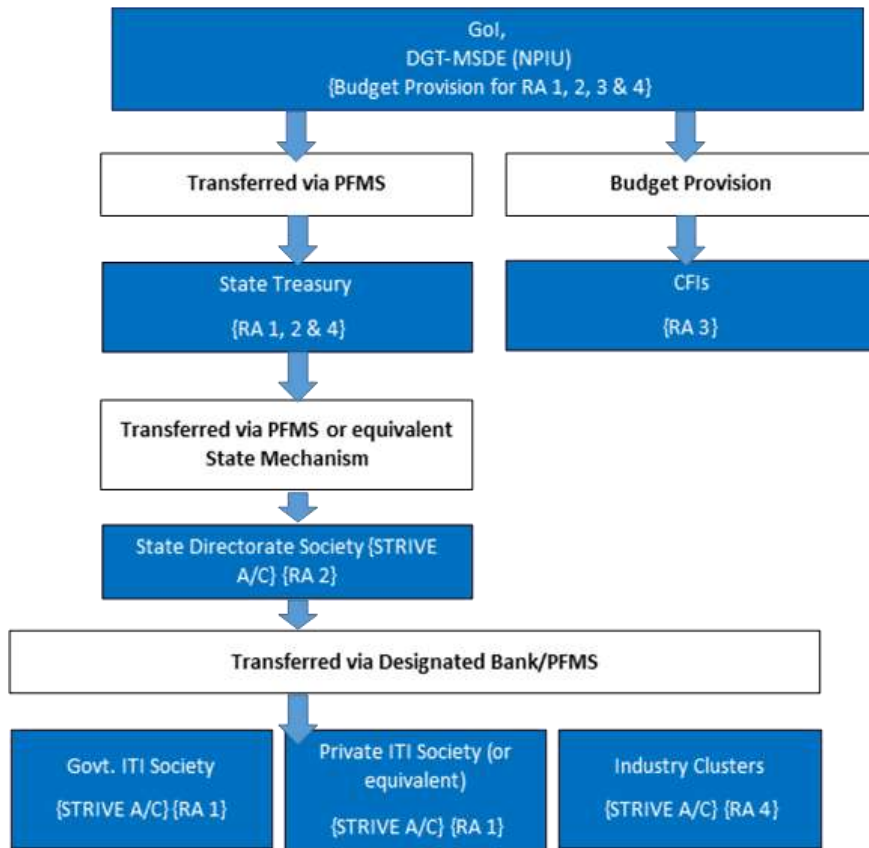
**Result area-1:** The funds would flow as Budget provided to MSDE, GoI to State Treasury to State Society STRIVE Project Bank Account (opened for STRIVE) to Government and Private ITI STRIVE Project Bank account (opened for STRIVE in name of Institute Management Committee (IMC) (or equivalent)). Thus, **Result area 1** funds will be directed from State Treasury to Government/Private ITIs STRIVE Bank Accounts via SPIU Bank Account.

**Result area-2:** The funds would flow as Budget provided to MSDE, GoI to State Treasury to State Society STRIVE Project Bank Account

**Result area-3:** Funds will be provided in the budget through the Demand for Grants for the Financial Year

**Result area-4:** Central MSDE Treasury → State Treasury → Department Concerned dealing with Apprenticeship (on the recommendation of SAMC → Industry Cluster (IC).

Fund flow procedure (as above) explained diagrammatically below



## **FINANCIAL AUDIT**

### **Objective**

The objective of the audit of the Project Financial Statement (PFS) is to enable the auditor to express a professional opinion on the effectiveness of the overall financial, operational and procurement management position of STRIVE at the end of each fiscal year and of the funds received and expenditures for the accounting period ended (Fiscal years starting from April 1, 2018 up to the project closing date), as reported by the PFS, as well as an opinion on the eligibility of the Statement of Expenditures (SoE) and Financial Monitoring Reports (FMRs) submitted under the project. It shall be ensured that the overall financial management and the arrangements including internal controls are carried out as documented as per the Operations Manual.

The project books of account provide the basis for preparation of the PFS by the Project Implementation Agency and are established to reflect the financial transaction in respect of the project, as maintained by the project implementation agencies.

In addition, the audit shall advise the management about proper utilization of funds, including the possibility of any fraud and corruption in the project.

### **Scope**

The audit will be carried out in accordance with the standards of audit of the Comptroller and Auditor General of India, and will include such tests and controls as the auditor considers necessary under the circumstances. In conducting the audit, special attention should be paid to the following:

- Project funds are used in accordance with the relevant agreements with States, UTs, Govt. ITIs, Private ITIs, Central Institutes and Industry Clusters hereinafter called ‘Implementation Agencies’ with due attention to economy and efficiency, and only for the purposes for which they were provided as per fund/grant and Project Operations manual.
- With regard to procurement of Goods, Works and Services by various implementing agencies under STRIVE, external auditor will verify compliance with applicable rules as per the Operations Manual, verifying the action taken on evidence of fraud and corruption if any, award of any contract to a firm appearing on Bank’s list of sanctioned firms, number of procurement related complaints received and time taken in disposal of each such complaint, and verifying that no contracts excluded from the Program have been awarded. Review of funds with NPIU and SPIU for onward transfer to Implementation Agencies to ensure proper allocation and timely release of such funds
- All necessary supporting documents, records, and accounts have been kept in respect of all project ventures including expenditures reported via SOEs / FMRs. Clear linkages should exist between the books of account and reports presented to the Ministry and/or to the Bank;
- The project accounts have been prepared in accordance with consistently applied Indian Government Accounting Standards in this respect and give a true and fair view of the financial situation of the project at the year end and of resources and expenditures for the year ended on that date.
- To review that the funds are spent in the manner by which Individual linked KPIs within the four project result areas are being achieved.
- Sample check the Utilization Certificates for ITIs/ICs/CFIs (as stated in Project Operations Manuals) based on which funds have been released. Private sector ITIs to submit UCs as per General Financial Rules (GFR) 2017 and its amendments from time to time.
- Review and consider the consolidated Internal Auditor’s comments on the Project over the audit period in question before forming their opinion on the state of affairs of the Project. These comments should be incorporated, if necessary, after discussions with SPIUs and the respective Internal Auditors.
- The scope covers Closure Audit of Project also.

**Note:**

The above scope of work is for CAG. However, for other external auditors selected within the project, especially for State Societies under STRIVE, would have the similar scope of work as stated above relevant to them.

**Project Financial Statements**

The Project Financial Statements submitted by NPIU and SPIU should include:

- A Summary of Funds received Result area-wise by NPIU and SPIUs

- A Summary of Expenditures shown under the main project result areas/ activities/ headings and by main categories of expenditures, both for the current fiscal year and accumulated to date; and
- A Balance Sheet showing Accumulated Funds of the Project, bank balances, other assets of the project, and liabilities, if any. If the Beneficiary under the project can not maintain a Balance Sheet on account of its existing accounting system, the PFS of such Beneficiary should include in the form of a statement (Statement in lieu of Balance Sheet) at the end of every financial year (a) unspent bank balance of the project (b) category-wise assets purchased by the beneficiary from project funds with date of such purchase along with its location (c) project related unpaid bills/liabilities as at year end

As an annex to the Project Financial Statements, the auditor should audit a reconciliation statement (prepared by the project) between the amounts shown as "*received by the project from GoP*" and that shown as being disbursed by the States to Implementation Agencies. As part of that reconciliation, the mechanism for the disbursement for each category of Beneficiary under the four Project Result areas should also be indicated.

#### **Statements of Expenditures/ Financial Monitoring Reports** (Relevant for TA component)

In addition to the audit of the PFS, the auditor is required to audit all SoEs used as the basis for the submission of withdrawal applications from NPIU/SPIUs. The auditor should apply such tests and controls as the auditor considers necessary under the circumstances. These expenditures should be carefully compared for expenditure eligibility with the individual Result area-wise operations manuals read with the relevant financing agreements for each Beneficiary. Where ineligible expenditures are identified as having been included in withdrawal applications and reimbursed against, these should be separately noted by the auditor. Annexed to the PFS should be a schedule listing individual SOE/ FMR withdrawal applications by Result area Wise with specific reference number and amount.

#### **Audit Opinion**

Besides a primary opinion on the PFS, the annual audit report of the Project Accounts should include a separate paragraph commenting on the accuracy and propriety of expenditures under PforR instrument under established KPIs for each result area under the Project

The financial statements, including the audit report, should be received by the Implementing Agency (NPIU) no later than six months after the end of the accounting period to which the audit refers. The auditor should submit the two copies of the audited accounts and audit reports to the Implementing Agency.

#### **Auditor's comments**

In addition to the other areas, the auditor will also comment on:

- observations on the accounting records, systems, and controls that were examined during the course of the audit;
- identify specific deficiencies and areas of weakness in systems and controls and make recommendation for their improvement;

- report on the degree of the compliance of the financial covenants on the financing agreements;
- report on the degree of the compliance of the procurement procedures and norms
- communicate matters that have come to attention during the audit which might have a significant impact on the implementation of the project; and bring to the borrower's attention any other matters that the auditors considers pertinent.
- to what extent have the KPIs been actually achieved which has resulted in releases from GoI to all the Project Result area Beneficiaries
- utilization certificates provided by Implementation Agencies are generally in order in keeping with the spirit of Result Area-wise Operations Manual
- observations on the consolidated internal auditor's comments on the Project

### **General**

The auditor should be given access to all legal documents, correspondence, and any other information associated with the project and deemed necessary by the auditor.

## 6.5. Tracer study

### **[DRAFT] TERMS OF REFERENCE**

**For**

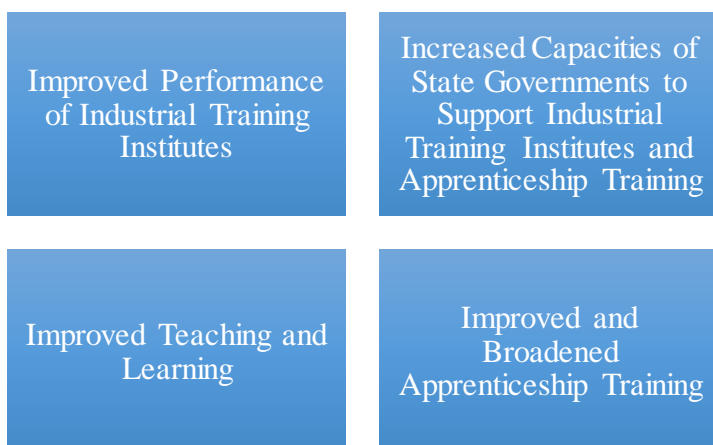
### **CONDUCTING A TRACER STUDY FOR TECHNICAL VOCATIONAL EDUCATION AND TRAINING (TVET) EMPLOYMENT OUTCOMES OF GRADUATES FROM ITIs IN <State Name>**

#### **Background of the Project**

The Government of India (GoI) introduced its National Policy for Skill Development and Entrepreneurship in 2015. A policy implementation framework is provided by the National Skill Development Mission (NSDM). The mission reflects the Government’s commitment to skilling opportunities for economically disadvantaged/underserved communities and developing a globally competitive workforce. The mission also seeks to shift toward outcome-focused training provision and establishes and enforces cross-sectoral, nationally and internationally acceptable standards for skill training by creating a sound quality assurance framework. The national Skills Strengthening for Industrial Value Enhancement (STRIVE) project has been developed by the GoI with World Bank assistance to incentivize the critical institutional reforms required in the institutional training systems—defined as the Industrial Training Institute (ITI) and apprenticeship—to meet the GoI’s commitment to provide skilling opportunities for economically disadvantaged/underserved communities and developing a globally competitive workforce. The key objective of STRIVE is to improve the quality and market relevance of vocational training provided through ITIs and apprenticeship.

The Program for Results (PforR) instrument is particularly suited to achieving the GoI’s results-based objectives, as it allows for improvement of the systems and institutions that are critical to the implementation of the GoI project. The instrument will ensure a sharp focus on the most important results the GoI wants to achieve (that is, improve relevance and efficiency of vocational training), allow for flexibility in the end use of funds by states and training institutions, support the development of state-level capacities to manage ITIs more effectively, incentivize introduction of performance-based management principles, and strengthen output and outcome monitoring.

STRIVE is divided into four results areas:





The major activities under STRIVE includes:

- a) Performance-based grants for upgradation of selected ITIs
- b) Performance-based funding to state governments to incentivize reforms in state management of ITIs and apprenticeship training
- c) Overhauling curricula and TL resources in selected key Craftsmen Training Scheme (CTS) programs
- d) Enhancing distance and blended learning in pre-employment and in-service teachers training
- e) Incentivizing SME participation in modern apprenticeship training through grant funding of industry apprenticeship initiatives (IAIs)
- f) System development, capacity development, and advocacy for apprenticeship training

[Name of Procuring Entity] is actively participating in implementing the STRIVE project in the state of [Name of State/UT]. A State Steering Committee (SSC) has been formed to guide the implementation of project in the State. A State Project Implementation Unit (SPIU) has been formed, to assist the SSC for the implementation of the project. At the state level, State Project Implementation Units (SPIUs) will be responsible for providing fiduciary guidance, implementation, monitoring, and facilitation of STRIVE.

### **Specific information regarding the assignment**

The SPIU intends to hire/engage a firm/agency/organization to carry out a tracer study of trainees graduated from all ITIs in the state (both project and non-project).

There are 11,000+ private and 3000+ public ITIs in India. Out of which <name of state> has <data on private and public ITIs>.

The SPIU wishes to hire the services of a consultant to carry out a tracer study of trainees from the project and non-project ITIs.

### **Objective of the Assignment**

The objective of this consulting assignment is to engage a consulting firm or consortium (“Consultant”) to carry out a tracer study of trainees from project and non-project ITIs in the state to understand their career progression in the labor market. The *Tracer Study* should provide a feedback for improvements in TVET. A broad range of aspects of employment and work as well as prior learning experiences shall be included. Not only simple descriptive findings will be produced. The *Tracer Study* shall try to explain the causes of employment outcomes (professional success) and to analyses the impact of various features of TVET.

A standardized questionnaire will be the research instrument to be used by all TVET institutions in order to allow comparability of the findings. Adaptations to institutional and sectoral specifics shall be made possible. The survey will be a multi-purpose survey: it will not only serve to give a general feedback to the TVET institutions and other stakeholders in an identical way. Many

versions of questionnaires might be created which should comprise the questions presented to all graduates from TVET institutions (core questionnaire), field-specific questions, Trade specific and institution-specific questions. The information will be collected through a questionnaire with a dominance of “closed questions” (categories for response provided) and some open questions (like job title, economic sector, work tasks). This is the most preferable option of collecting information from a large number of graduates, while interviews could be undertaken at most for small samples of graduates.

The objective of this Terms of Reference is to select an organization/Firm (Consultant) that will be responsible for conducting a survey and delivering quality data according to the expectations and protocols, and within a timeframe defined by the NPIU/SPIU.

### **Experience, Resources and Delivery Capacity Required:**

A national/international Research Organization/ Consulting Firm will be selected following the Consultants’ Qualifications Selection (CQS) method in accordance with the procedures set in the Procurement Guidelines. The Expression of Interests (EoIs) will be evaluated based on the complete information provided in the prescribed Template. The firm(s) should include in their expression of interest the following information. The Organizations/Firms must provide information and documentary evidences to establish that they have - technical knowledge on TVET field, labor market and sufficient writing skills to carry out the tasks, Minimum of 5 years relevant professional experience in research for any national/international agencies, knowledge and experience in vocational skills training programs, strong experience in conceptualizing and implementing tracer studies within the context of TVET and preferably in the context of India and excellent communication and report writing skills.

- a) Required supporting documents for experience and qualifying Criteria, CVs of proposed Key personnel, audited financial statement, certified copy of incorporation/constitution, for this project as per the ToR.
- b) Minimum qualifying criteria, which includes number of years of experience, turnover requirement, and required infrastructure. Eligible entities to participate must indicate the number of successfully completed training.
- c) Management competence, which includes Conducting Tracer Studies, quality control and assurance of TVET
- d) Coordination and Approach and Methodology
- e) Technical competence, which includes Firm's specialization vis-à-vis the sectoral focus of the assignment in ToR, number of similar projects undertaken and proposed team for the assignment
- f) Experience working in similar geographic regions of countries specially in India

### **Scope of work/Essential duties**

The Consultant/Firm will be responsible for collecting and analyzing quality data according to the expectations and protocols, and within a timeframe. For the survey, the major duties of the agency will include:

- To measure the labor market performance of STRIVE supported ITIs;
- Reasonableness testing of the data (with SPSS syntax) as a part of data quality controls.

- Assess the impact of the ITI training programs in terms of relevance, effectiveness, efficiency and sustainability.
- Obtain the views and opinions of employers on the impact, quality and relevance of ITI training programs.
- Assess graduate/Pass-outs satisfaction level relating to the type of ITI training attended
- Clear methodology: tracer study instruments and indicator measurement, analytical approach and robustness check approach

## Methodology

The Consultant should come up with a detailed analytical strategy based on the following guidelines:

- a. Elaborate the tracer study methodology and key approaches including the stages of the study, data collection methods, analysis and report writing
- b. Finalize a detailed methodology for tracing the trainees in the sample in consultation with the SPIU and NPIU. The methodology will include steps for visiting ITIs, obtaining list of trainees from which to sample, preparing the random sample of trainees to be traced and the procedure to be followed by field investigators for reaching the trainees and interviewing them. The sample of trainees will include a buffer number to replace those trainees who can not be traced within a 100 KM of the ITI they attended
- c. Plan and conduct the study on sampling basis in a representative manner to ensure national representation of data as well as urban/rural, age and sex segregation of the findings of the quantitative aspects of the study.

Suggested sample size and mode of data collection envisaged for this study is as follows:

- i. The total sample size envisaged for this study is 10% of <number of ITIs in the state> across project and non-project ITIs.
- ii. The sample may be further stratified according to rural/urban location, minority criteria and other criteria. The sample size should ensure capturing minimum of 5 % of the population of ITI graduates of the state.
- iii. To select sample of trainees from each project ITI, 30 trainees who have passed out from the ITI would be selected. A considerate representation at trade levels should also be considered.
- iv. To select sample of trainees from each non-project ITI, 20 trainees will be randomly selected from among those who have passed out <within 2 years> [10 from among those who have completed one year of training and 10 from among those who have completed two years of training.]
- d. The ITI sample should cover both rural and urban areas. The sample should aim to capture the diversity of trainees in terms of their age, SC/ST/ OBC status, minority status, disability, education level and household economic status. The sample should also include representation at the trade level and cover both engineering and non-engineering trades.

- e. The main data collection tool will be the trainee questionnaires which will be administered to the sample selected trainees from all sample ITIs. (Project, non-project).

The Consultant shall develop appropriate data collection tools (in English, Hindi and other regional languages if required), surveys, and protocols that allow data to be disaggregated by SC, ST, OBC, minority status, disability and age.

- f. The sample trainees will be physically traced and interviewed face-to-face with a structured interview schedule.

Even within subgroups—single, married, disabled—there may be significant differences in education and skills levels, which may have implications for tracer study output. Survey questions about employment status/occupation should consider several response options to account for the many roles trainees may play, including their unpaid household work and farm labor.

- g. The ITI trainee questionnaires will focus on inter alia the following key questions for trainees from both project and non-project ITIs. The study will also collect personal and socio-economic background of trainees to generate disaggregated findings (by gender, SC/ST, rural-urban location etc.) and as controls.

**Key questions to be covered are:**

- i. Employment and income status of the graduates prior to their training in ITI
- ii. Current employment and income status of ITI trained trainees
- iii. Social and economic (i) enablers and (ii) barriers facing graduates in securing valued employment
- iv. Labor force participation and employment rates of trainees with gender and social background (SC/ST) disaggregation;
- v. Type of employment—wage employment, self-employment, apprenticeship; permanent/temporary, full-time/part-time;
- vi. Wage levels of the trainees if employed—full-time/part-time; income levels if self-employed; and allowances if apprenticeship—formal or informal;
- vii. Time taken to get first employment by the trainees and employment history and increase in wage with each change of job;
- viii. Sector of employment (if employed in the same sector/skills the trainees learnt);
- ix. Job/occupation characteristics if employed or self-employed;
- x. Job search methods used;
- xi. Usefulness of training obtained;
- xii. Trainee satisfaction with training received;
- xiii. Reasons for unemployment or not joining the labor force and current activities (including further education and training etc.)
- xiv. Document about 50 good cases of trainees (including a few from Minorities ITIs) who are doing well in the labor market.

- xv. Personal details including information on the socio-economic background of the graduate.
- xvi. Graduate's perceptions of the quality and usefulness of the trade(s) studied
- xvii. Employment history of the graduate from the time he/she passed out from the ITI
- xviii. Suitability and employment potential of trade acquired in ITI

**Outputs/Deliverables and Payment terms:**

S. No.	Key Deliverables	Time-line	Payment (indicative)
1	Inception report with summary appreciation of ToR, detailed methodology, draft questionnaire and work plan. Finalized questionnaires and other data collection tools Detailed Study Design and Plan (including Team Mobilization and Training of the Team to be positioned)	Within 2 weeks from the date of award of contract	10%
2	Pilot Study (10% of sample size) and Finalization of Study Instruments (including Field Manual for Investigators)	2 weeks after the study design and plan approval by the SPIU	-
3	Completion of Field Survey	2 weeks after the pilot is conducted	-
4	Data Entry in Agreed Electronic Format and Analysis (to be Made Available to the SPIU)	1 week after the field survey is completed	-
5	Draft Report	2 weeks after data analysis completed	30%
6	Final Report	1 week after the comments on the draft provided by the SPIU and finally accepted by NPIU.	50%

**Team Composition of the Firm/Organization Required**

The team members of Firm/Organization should comprise of following team / manpower to conduct the study. The number of positions are indicative, the actual number of positions to be decided by the firm/organization in order to ensure timely accomplishment of the assignment. Position wise required qualification and experience depicted in the table below.

Designation	Number of Positions	Minimum Qualification	Experience	Engagement time period
<b>Key Experts</b>				

Designation	Number of Positions	Minimum Qualification	Experience	Engagement time period
Team Leader	1	Master's degree or higher in management, statistics, economics, social science or equivalent discipline.	At least 10 years of experience in designing and leading assessment studies in India. At least five years research experience and knowledge of the research methods and survey methodology	1 man-month
Senior Analyst	1	Master's degree or equivalent in economics, statistics or equivalent. Proficient knowledge of statistical software.	At least 8 years of experience in managing data processing, data assurance and data transfers in surveys in India.	2 man months
Analyst	1	Master's degree or equivalent in economics, statistics or equivalent. Proficient knowledge of statistical software.	At least 5 years of experience in managing data processing, data assurance and data transfers in surveys in India.	2 man months
<b>Total</b>				<b>5 man-months</b>
<b>Non-Key Experts</b>				
Field Team Members	5	Bachelor's degree in social work or equivalent; preference would be given to Master's degree or equivalent in social work, social science or equivalent discipline. Good knowledge of local language(s).	At least 2 years of experience in implementing surveys in and managing fieldwork on surveys in India.	As required
Data Entry Operators and sufficient number of Computers, Desks, printers,	Estimated based on expected work plan	N/A	N/A	As required

Designation	Number of Positions	Minimum Qualification	Experience	Engagement time period
vehicles for transportation and any other required logistics and supplies				

\* The estimated number of personnel is tentative, and the Consultant may deploy personnel based on the timeline of requirement and deliverables within the time period—all subject to SPIU’s approval.

### Activity Plan

The consultant should complete the study in 10 weeks from the start date of the consultancy.

The consultant selected to conduct this study will do the following:

- a) Prepare a study design and plan, which will include the following:
- b) A detailed sampling frame with proper representation of all types of project and non-project ITIs. This will include statistical methods for selecting the sample ITIs and trainees for the tracer study;
- c) Preparation of data collection tools and interview schedule for trainees;
- d) Plan for piloting the research tools.
- e) Prepare a field-manual based on the pilot findings to be used as reference guide by field-investigators.
- f) Final data collection tools.
- g) Main field survey including plan and calendar for field investigations and quality monitoring of field investigations.
- h) Composition of the research team, field investigators, and plan for their training
- i) Data entry details
- j) Data analysis framework and plan
- k) Data analysis and prepare the report of the tracer study.

### Reporting

The agency will work closely with SPIU on the engagement.

Additionally, SPIU will perform the following activities:

- a) Provide a complete list (name, address, etc.) of project and non-project public ITIs and private ITIs from which the study sample will be selected;

- b) Review and approve the Study design, plan, and draft tools;
- c) Review and approve the pilot study plan and findings and final tools;
- d) Facilitate the field-investigators work with respect to state and ITI cooperation such as by providing a letter of introduction and endorsement of the study;
- e) Undertake visits to triangulate work of field investigators;
- f) Review and approve the data entry and analysis;
- g) Review and approve the draft report;
- h) Review and approve the final report.

### **Copyright**

All study materials and data from the study will be the sole property of the SPIU. The Consultant will submit all the materials, secondary and primary, including the filled questionnaires, collected for the purpose of the study.



## 7. FREQUENTLY ASKED QUESTIONS

### 1. What is STRIVE?

Skills Strengthening for Industrial Value Enhancement (STRIVE) is a national project of the Ministry of Skills Development and Entrepreneurship (MSDE) in collaboration with World Bank to incentivize the critical institutional reforms required in the institutional training systems – Industrial Training Institutes (ITIs) and Apprenticeships

### 2. What are the key result areas of STRIVE? / What is the objective of STRIVE?

The objective of STRIVE is to improve the quality and market relevance of vocational training provided in ITIs and apprenticeships through:

- i. Improving Performance of ITIs
- ii. Increasing capacities of State Governments to support ITIs and Apprenticeship trainings
- iii. Improving teaching and learning capabilities
- iv. Improving and broadening apprenticeship training

### 3. What is the budget/outlay for the project?

The overall budget for the project is INR 2200 crores over a period of five years from 2017-18 to 2022-23 with allocations among different result areas as below:

S. No	Result area	Budget (INR in Cr)
1	Improved performance of ITIs	1000
2	Increased capacities of State governments to support ITIs and Apprenticeship training	330
3	Improved teaching & learning	435
4	Improved and broadened apprenticeship training	212
5	Technical Assistance (100% Funded by World Bank)	35
	Technical Support (100% funded by GoI)	188
	<b>Total</b>	<b>2200</b>

### 4. Is the project funding a loan or a grant to ITIs, States and ICs?

This is a performance based funding project where fund will be disbursed on achieving agreed milestones on annual basis. It is not a loan but a grant.

### 5. Who are the direct project beneficiaries?

The following groups are direct beneficiaries' of the STRIVE Project:

- a. All short- and long-term trainees enrolled in ITIs that have signed PB Grant Agreements
- b. Teachers of ITIs and/or CFIs who have undergone teacher training under STRIVE

- c. Any person from the government or private sector that has participated in training programs that are related to apprenticeship or Industrial Training Institute (ITI) reform and have been funded under STRIVE
- d. ITI students, apprentices, or any other participants of skills development programs who have participated in programs based on revised curricula under STRIVE
- e. Apprentices enrolled in apprenticeship programs implemented under the Industry Apprenticeship Initiative (IAI) grant mechanism
- f. Students trained in ITIs and other training institutions by teachers who have improved their skills through access to the CITS and CPD.

**6. Which ITIs are eligible for the project?**

Only those ITIs which are offering National Council for Vocational Training (NCVT) trades are eligible for the project. All Government ITIs with ITI grade greater than 2 and Private ITIs with ITI grade greater than 2.5 are eligible to submit ISPs.

As an exception, if enough eligible Government ITIs meeting the threshold score are not available in a state, then states will be provided an opportunity to nominate other graded government ITIs to apply in the project.

**7. Are Private ITIs eligible to apply?**

All the private ITIs who have been graded and scored at least 2.5 are eligible to apply.

**8. How many ITIs will be funded?**

A total of 500 ITIs (400 government and 100 private ITIs) will be selected across 36 States and Union Territories over the period of STRIVE project.

**9. What is the selection criteria for ITIs?**

Eligible ITIs will be selected competitively based on ITI grade and Institute Strategic Plan (ISP) submitted by them to the State Project Implementation Unit (SPIU) for Govt. ITI/ National Level ITI Evaluation Committee (NLIEC) for Private ITI, and evaluated as per pre-determined & approved criteria.

**10. How can an ITI apply?**

The eligible ITIs can submit ISPs in response to the advertisement inviting eligible ITIs to submit Institute Strategic Plan (ISP) through national selection portal.

**11. Who will select the ITIs?**

State Project Implementation Unit (SPIU) will evaluate Govt. ITIs (basis state level competition) and National Level ITI Evaluation Committee (NLIEC) will evaluate Private ITI (basis national level competition) based on evaluation of ISPs as per criteria pre-approved by National Steering Committee.

Govt. ITI evaluation scores will then be forwarded for State Steering Committee (SSC) and National Steering Committee (NSC) approval and Private ITI evaluation scores will be forwarded for just National Steering Committee (NSC) approval.

**12. How are ITIs categorized?**

ITIs are categorized based on their size in terms of number of enrollments in NCVT trades offered by the institute.

**13. What is the funding amount an ITI will receive?**

Funding to an ITI depends on the category assigned by selection committee based on its enrollment size (in NCVT trades)

	<b>Criteria (based on size/ NCVT enrolment)</b>	<b>Maximum funds per ITI</b>
<b>Group A</b>	Enrolment above 600	INR 2.5 crore
<b>Group B</b>	Enrolment between 200 and 600	INR 2 crore
<b>Group C</b>	Enrolment up to 200	INR 1.5 crore

**14. What is the basis for allocation of ITIs to each State?**

Government ITIs under STRIVE have been distributed across 36 states and UTs based on existing distribution of Government ITIs across the country. If the required number of ITIs is not achieved in any state/UT, the distribution can also be re-allocated to other states.

However, Private ITIs will be selected from across the country (irrespective of the state allocation)

**15. Which ITI reform activities will funded under the Project?**

The grant funding will be provided to ITIs to cover costs of reform activities defined in Institute Strategic Plan (ISP) to be prepared by the ITI and on eligible expenditures allowed under STRIVE.

**16. Are civil works funded under STRIVE?**

Civil works are not funded directly under Result Area-1 of STRIVE. However, limited support to infrastructure, minor essential renovation /repair required for installation of machines, etc. may be undertaken only by government ITIs from performance linked funds provided to ITIs with prior approval of Institute Management Committee (IMC) (or equivalent). However, this amount shall not exceed more than 5% of the total amount allocated to the ITI.

However, under Result Area-2 of STRIVE, States may undertake civil works from their performance linked funds received under STRIVE.

**17. What is an IMC?**

IMC is an Institute Management Committee and will be responsible for managing the affairs of the ITI under the project. The IMC will be set up as a ‘society’ registered under relevant Societies Registration Act.

**18. Is IMC mandatory for every ITI?**

Yes, the selected ITIs (both government and private) must have an Institute Management Committee (IMC) or equivalent for managing the affairs of the ITI under the project.

**19. What if ITI already has functional IMC (or equivalent) as per some other scheme?**

Any ITI (government or private) should not have more than one IMC (or equivalent) at given point of time.

Hence, if IMC (or equivalent) already exists in an ITI, it should just open separate STRIVE account in a designated bank as per the financial guidelines defined in STRIVE Operations Manual.

**20. What if private ITIs managed/driven by industry already has an IMC equivalent governance structure to run the affairs of ITI?**

Governing body of private ITIs managed/driven by industry will also be accepted as equivalent body to IMC if it is registered either as a Society/Trust or as a company under Section 8 as per Companies Act 2013.

It should just open separate STRIVE account in a designated bank as per the financial guidelines defined in STRIVE Operations Manual

**21. What are Industry Clusters (IC)?**

IC is a Business Membership Organization (BMO) which may include clusters, associations and any other form of organizations. However the organization must be formally registered and have the legal capacity to sign contracts on behalf of its members. IC must be having at least 20 member enterprises/companies/industry to participate in STRIVE project however in circumstances of difficult region, North East, LWE, National Project Implementation Unit (NPIU) has the right to relax this eligibility.

**22. Which ICs are eligible for the project?**

The eligibility criteria in respect of ICs to participate under IAI Grant Scheme of STRIVE Project is as below:

- IC must be formally registered either as a ‘society’ under relevant Societies Registration Act or trust or an organization under Section 8 Company and have the legal capacity to sign Tripartite Agreements/contracts on behalf of its members
- Minimum Number of member enterprises consenting to apply under IAI grant must be 20 irrespective of the size of the cluster.
- Minimum apprenticeship seats available for IAI implementation in the cluster as per the Apprenticeship Act/Norms must be 40.

**23. What is the selection criteria for ICs?**

Eligible ICs will be selected competitively based on the Application form submitted by them to the State Apprenticeship Monitoring Agency (SAMC) which are evaluated as per pre-determined & approved criteria.

100 eligible industry clusters shall be selected through a competitive process and selection shall be done in two phases:

<b>IC Selection Phases</b>	<b>Number of ICs</b>
ICs to be selected in Phase-1 (Pilot Phase)	10
ICs to be selected in Phase-2	90

**24. What is the selection process of ICs?**

Selection of IC is in two stages, first the based on the evaluation by the State Apprenticeship Monitoring Agency (SAMC) on the basis of pre-determined & approved criteria. SAMC will constitute a selection committee for evaluating the IC applications. The composition of the committee is listed in operations manual. In the second stage, States will recommend the ICs applications to NPIU for the final approval. NPIU reserves the final rights of approval and rejection.

**25. How can an IC apply?**

For IC's, the coordination point will be from SAMC. DGT in coordination with states will decide the method and approach of inviting applications on case to case basis. States will further reach out to clusters and seeking their participation. Based on the notification, IC will submit the application form to SAMC.

In general, IC can submit the application form in response to the notification released by DGT on Pan India basis in Newspapers, Web Portals of MSDE, State Technical Education Departments, RDAT, Micro, small and Medium Enterprise (MSME) Industry and/or NCVT-MIS Portal

**26. Who will select the IC?**

State Apprenticeship Monitoring Cell (SAMC) and RDATs will recommend ICs based on evaluation of application forms as per criteria approved by National Steering Committee and send to DGT for approval.

**27. What is the funding amount an IC will receive?**

A maximum allocation of INR 1 crore will be available per IC for a project duration of 3 years. However, exact quantum of funds allocated to individual ICs will depend on the IAI plan submitted by the IC and achievement of the milestone/ Key Performance Indicator (KPI).

**28. Which IC's activities are funded under the project?**

The grant funding will be provided to ICs to cover costs of various activities defined in their respective IAI plans towards achieving training and apprenticeship milestones as listed in operations manual for STRIVE. There is list of eligible and ineligible expenditure provided in the manual

**29. Please provide an indicative list of activities that may be taken up by the IC?**

Details functions of IC is listed in Section 3.4 of the manual.

**30. What is the monitoring process for evaluating performance of ITIs and ICs?**

The achievements of ITIs and ICs will be obtained through performance cum achievement reports submitted by them annual with necessary documentary proofs

**31. Who will verify the KPI achievements?**

SPIU/SAMC will monitor the KPIs. Additionally, an Independent Verification Agency will be hired to validate the data provided by ITIs, ICs and States annually.

**32. What are the audit requirements?**

State hired internal audit agency will also conduct a state level audit in every 6 months till the closure of project. ITIs, ICs and States are subject to annual CAG audit and Statutory Audit under relevant Societies Registration Act.

**33. Which States are eligible for the project?**

All the States willing to sign Memorandum of Understanding (MoU) with DGT to achieve project objectives are eligible for funding under STRIVE

**34. What is the funding amount a state will receive under STRIVE?**

Funding to a State depends on the category assigned by National Steering Committee based on number of government ITIs in that state/UT. The proposed funding and categorization of states is as per Annexure 8 of Operations Manual for STRIVE. However, the actual amount received will depend on achieving/ performance on agreed KPIs.

**35. What are the reforms activities to be achieved by States?**

Under STRIVE, States are primarily responsible for:

- i. Reducing trainer vacancies
- ii. Conducting Tracer study
- iii. Developing career progression policy for trainers

**36. What is Program Action Plan?**

It lists the critical steps required for STRIVE to achieve its objectives. The proposed action plan has been formulated to address gaps to improve Project implementation and to increase the likelihood of achieving project outcomes. The action plan includes activities geared toward strengthening project implementation and monitoring mechanisms, such as by hiring a PMC; strengthening Financial Management and procurement arrangements; and promoting inclusion through coordinated activities at both central and implementing agency levels.

## 8. ANNEXURES

### Annexure 1: Scope of work for PMC

The PMC at national level would be assisting DGT in implementation of STRIVE with following Scope of Work:

#### **Phase 1: ITIs/ ICs Shortlisting and Selection, Interventions design and Implementation Roadmap**

Phase 1 entails design and development of the project and would further consist of two sub-components; the first component would include shortlisting, selection and mobilization of ITIs and Industry Clusters. The second would include creation of intervention modules and implementation roadmap (covering all relevant stakeholders, including NPIU) across the Result areas of STRIVE.

#### **Phase 1(a): Shortlisting and selection of ITIs, selection of industry clusters, formalization of engagement modalities, and on boarding**

The overall objective of this phase is to facilitate selection, mobilization and on-boarding of (a) 500 ITIs (including Govt. and Private) through a competitive selection process, while ensuring adherence to guidelines and (b) 100 IAI clusters through a defined selection criteria.

This phase will include all activities relating to ITI/ IC shortlisting, selection, and mobilization framework design and support. These activities may include, but not be limited to:

- Defining minimum eligibility criteria for ITIs participating in the project. This may include (but may not be limited to) grading score, scale, physical infrastructure, range/type of courses offered, instructor vacancy rate, degree of industry engagement, current outcomes (graduation and placement rates)
- Defining a framework for final selection of eligible ITIs on the basis of (but not limited to) Institute Strategic plans (ISPs) created by eligible and interested ITIs. The criteria to evaluate ISPs of participating ITIs can include (but not limited to) initiatives planned for
  - Deepening industry linkages
  - Developing training supply in line with market needs and NCVT requirements
  - Improving quality of management and facilities
  - Improving employment and placement rates
  - Promoting inclusion
  - Creating capacity and capability of teaching staff
  - Improving income generating activities
- Facilitating the process of selection of ITIs
- Creating a framework for selection of ICs.
- Facilitating the selection of ICs and capacity building of ICs to set up IAIs.
- Defining a methodology to determine exact quantum of financial support to be provided to select ITIs, States and ICs through PBGs, clearly linked to outcomes.

- Creating an overarching framework for all potential PBG Agreements (PBGAs) (i.e. - between Centre and States, States and ITIs; Centre and CFIs, Centre, State and ICs).
- Facilitating signing of PBGAs
- On-boarding selected ITIs, States and ICs through necessary channels (collaterals, workshops, meetings, etc.).
  - Creating understanding about STRIVE's overall objectives and scope, among select stakeholders including: ITIs, ICs, States, CFIs, etc.
  - Creating understanding about the process of fund disbursement as per the Performance Grant instrument, among select stakeholders including: ITIs, ICs, States, CFIs, etc.

### **Phase 1(b): Intervention modules and Implementation roadmap design**

The overall objective of this phase is to assist the selected States, ITIs and ICs in designing specific intervention modules with the aim to achieve the desired outcomes in the four result areas envisaged under STRIVE.

- **Result Area 1:** Improved performance of ITIs – In this phase, the consultant should create intervention modules that can further help selected ITIs build on their ISP and achieve desired outcomes. These intervention modules may be centred around (but may not be limited to) the following areas:
  - Deepening relations with industry
  - Introducing new courses (long term or short term)
  - Mobilizing previously under represented and vulnerable groups, specially ST youth and females by introducing tailored services and courses
  - Strengthening pedagogical approaches for soft skills development
  - Strengthening employment promotion activities for graduating students (job fairs, application training, entrepreneurship training and support, etc.)
  - Improving income generating activities for enhanced sustainability
  - Improving facilities and management
- **Result area 2:** Increased capacity of State Governments to support ITIs and apprenticeship – Design of initiatives for States should focus on activities that can create the right regulatory environment for ITIs to operate; and promote apprenticeship. Detailed modules may be created across the following areas (indicative list):
  - Developing centralized admission process for ITIs
  - Establishing equivalence of ITI certificate with State Board Certificate
  - Reforms to encourage dual training
  - Recruitment norms and career progression policy for ITI trainers
  - Examination reforms
  - Constitution of IMCs (Industry Management Committees)
  - Establishment of State Apprenticeship Cell
- **Result area 3:** Improved teaching and learning. These may include intervention modules around:
  - a. Improving teaching and learning**



- Establishment of curriculum development cells in NSTIs/ CFIs
  - Capacity building modules for NIMI staff for development of multimedia content
  - Development and introduction of Online Distance Learning Programs (ODLPs) for instructor training
  - Creating a Professional Development system for ITI trainers
  - Designing and implementing IT and technology based solutions to improve quality of teaching and learning
  - Upgrade selected central training institutes to Multi-Purpose Resource Centres
  - Increase industry involvement (strengthening IMCs; setting up a Board of Governors to drive transformation)
  - Revamp existing curriculum and content wherever needed, with an explicit view to ensure better alignment with industry needs and NSQF
  - Define a plan to ensure improved quality and scale up of short term skilling programs run by CTIs
- b. Reforms to overhaul examination system**
- Designing outcome based methods of assessment
  - Improving transparency and fairness of the examination process
  - Launching multi lingual questions
  - Overhauling process of examiner selection and appointment
- **Result area 4:** Improve and broaden Apprenticeship training. Develop intervention modules designed for IAI clusters to function effectively – Activities relating to this focus are may include:
    - Setting up new or revising existing apprenticeship training programs in line with the specific needs of the participating firms (including development of curricula, enterprise training plans and TL material, assessment mechanism)
    - Capacity development (including infrastructure) of basic training providers (either apprenticeship training schools run by ICs, ITIs, or third-party basic training providers)
    - Initiatives to establish and raise the standards of quality assurance of apprenticeship training with the participation of industry experts
    - Training of trainers (e.g., company supervisors of apprentices and trainers in basic training institutions) and other stakeholders

**Phase 2: Initiative detailing, implementation and monitoring**

The overall objective of this phase is to detail out the initiatives as identified in intervention modules created in Phase-1 b, and put in place a stringent monitoring mechanism to ensure tracking of these initiatives as they get implemented on ground. Key activities in this phase may include:

**Detailing of initiatives identified in Phase -1 b**

- Exact approach for implementation
- Detailed roll out plan

- Assessment of capability gaps (process, technology, organization, etc.) for initiative implementation
- Determine resource requirements (financial, managerial, etc.)
- Identify need for third party providers

### **Assist NPIU in project implementation thru:**

#### **a. Technical and Strategy Development**

- Support the continuous improvement of the overall strategy for STRIVE.
- Continuously assess the target population and design best strategies to improve apprenticeship training; labor market relevance of ITIs, provide strategic insights to improve efficiency of instructor training so that the project delivery can be aligned to the result areas.
- Provide support in designing and implementation of Grant Agreements with Industry Apprenticeship Initiatives (IAIs)
- Support Capacity Development for Apprenticeship training at national, state and IAI/Cluster level.
- Co-ordinate the performance based grant funding mechanism with states and ITIs
- Support state level capacity building and reform activities by creating model policy with regards to examinations and assessments, instructor recruitment and progression, instructor career progression
- Assist in undertaking quality assurance programs such as grading of ITIs
- Assist in creation of teaching and learning material
- Co-ordinate with National Instruction Media Institute (NIMI), Central Staff Training and Research Institute (CSTARI) and other CFIs in development of new training and learning materials for Craftsmen Training Scheme (CTS) and instructor training programs, including for distance education modules
- Support establishment of distance education program
- Continuously improve project appraisal, project monitoring policies and risk management strategies.
- Help in strategic development of the participating institutions
- Support institutional capacity assessment of DTEs and their workload to understand and augment the required capacity for implementing the project
- Support a Training Needs Assessment (TNA) exercise to identify training needs, development of a change management strategy, as well as staff recruitment at all levels
- Support the process of designing and conduct of tracer studies at National and State levels
- Support further development of NCVT MIS
- Interact with the stakeholders such as line department and ministries, Small and Medium Enterprises (SMEs), apprenticeship clusters, ITIs, ITI clusters, instructor training institutes, National Skill Development Agency (NSDA), National Skill

Development Corporation (NSDC), Sector Skill Councils, State government departments, Certification and Assessment Agencies, Employment Exchanges etc. to get their feedback on ongoing strategies and propose changes in the operational strategies, and quality standards.

**b. Financial Management**

- Build and strengthen capacities of finance officers in NPIU, and ITIs for implementation of agreed financial management procedures and system;
- Provide assistance to NPIU in coordinating receipt of quarterly information of un-audited Interim Financial Report (IUFRRs) from the States / UT and preparation of consolidated quarterly IUFRR for the project for submission to The World Bank;
- Improve coordination with SPIUs and ITIs in tracking funds and expenditure;
- Oversee and provide support for timely release of funds and review the progress and expenditure, monitors the achievement against project indicators (DLIs)
- Contribute to adherence to Financial Management (FM) aspects of Disclosure Management Framework of the project by NPIU.

**c. Monitoring, Evaluation, and Reporting**

- Provide support for strengthening mechanisms for collection of information and monitoring of targets based on key performance indicators, including through strengthening of the MIS system
- Assist NPIU and co-ordinate with SPIUs in monitoring and evaluating results of the project, against the targets projected in Institute Strategic Plans (ISPs) developed by ITIs and Industry clusters
- Support NPIU to review and track progress of implementation through a technology backed solution
- Support reporting and monitoring of DLIs and KPIs
- Consolidating and disseminating information on project progress in form of periodic implementation progress reports
- Provide coordination support to NPIU for conducting workshops, seminars, conferences, bi-annual Joint Review Missions and interim missions from time to time
- Collect required information from the States and prepare documents for review missions and for other purposes as required by the NPIU
- Assist in the preparation of TORs for evaluation of different aspects of the project, and commission the evaluation and assure quality
- Help NPIU prepare quarterly progress report on some key inputs/outputs indicators
- Support the NPIU and SPIUs to facilitate and analyze tracer studies

**Help with knowledge transfer and capability building to ensure sustainability**

- Create best practice docket based on learnings from implementation of initiatives

- Conduct forums for sharing and dissemination of best practices between ITIs/IAIs/States
- Design capability building modules for relevant stakeholders

In addition, tasks of the PMC team includes:

- Support the NPIU in following up the recommendations of Joint Review Missions and sharing feedback with State government counterparts;
- Support NPIUs in arranging workshops and trainings to facilitate cross-state sharing, and initiate dialogue and discussions on relevant issues/areas; as this will help in the development of policy framework.
- Periodic progress reports against agreed work plan to NPIU and The World Bank.
- Support as required for the successful implementation of the STRIVE project for the duration of the contract. This will also include visiting various states for coordination and project implementation activities during the contract period of the firm.
- Any other technical and strategy support as suggested by NPD & NPC for successfully running the project during the contract period of firm.

## Annexure 2: Indicative staff for SPIUs and their responsibilities

The **Finance Unit**, under the guidance of the SPIU Director, and directly under the Additional State Project Director (ASPD), is responsible for:

- Managing the funds provided for State/UT level activities under the project, including monitoring project accounts and costs using empanelled bank dashboard, common tally cloud or similar software.
- Liaising with the Finance Officer at the national level, providing information on issues (problems and solutions).
- Acting as a support and reference person for all project-related financial management tasks.
- Preparing annual estimates and budget for the project at State/UT level
- Ensuring timely release of funds for project related activities at State/UT level e.g., to ITIs and ICs.
- Ensuring maintenance of project accounts as per standard procedures in the SPIU and in ITIs.
- Coordinating with all implementing agencies covered under the State for all financial management related activities including timely consolidation of mandated reports
- Preparing quarterly Utilization Certificates (UCs) and ensure their timely submission to NPIU.
- Ensuring the timely preparation and submission of periodical (quarterly preferred) claims to NPIU required for release of further funds.
- Timely appointment of internal auditor at state level, as per ToRs mentioned in Section 6.3
- Coordinating submission of annual audit report from State/UT to NPIU and timely compliance of audit observations. The Finance Officer should ensure adequate coverage, scope and timely and satisfactory response to observations by internal auditors.
- Reviewing and monitoring financial management arrangements for the project at ITIs and ICs.

The **Procurement Unit**, under the guidance of the ASPD, is responsible for:

- Ensuring full knowledge and systematic application, including key staff of relevant State/UT officials, of the procurement and consultancy guidelines as per Section 4.2, for application to the technical assistance component.
- Managing the procurement of works, goods and consultancies required for State/UT level activities under the project and manage the procurement of consultancies
- Preparation of Procurement Plan at the State level. In case where ITI prepares procurement Plan, the Procurement officer would ensure training at the ITI level.
- Executing National Competitive Biddings.
- Liaising with the Procurement Officer at the national level, providing information on issues (problems and solutions).
- Acting as a support and reference person for all project-related procurement tasks.

- Submitting quarterly procurement progress reports to the SPIU Director.
- Acting as first line of contact for dealing with enquiries and complaints regarding procurement referred to the SPIU.

The **Monitoring and Evaluation Unit**, under the guidance of the ASPD, is responsible for:

- Management of the project MIS at the State/UT level.
- Monitoring the project progress and process (activities)/ implementation of the project on a day-to-day basis.
- Monitoring the fund flow across the State implementing agencies using the dashboard/ common tally cloud software provided by the empaneled bank.
- Liaising with the Monitoring and Evaluation Specialists at the national level, providing timely information, and raise issues and challenges and seek solutions therein.
- Assisting the Monitoring and Evaluation Specialist at the national level to incorporate baseline data on the performance of institutions into the MIS.
- Implementing and overseeing procedures for the regular monitoring of performance of institutions participating in the project. This will include procedures for assisting with ad hoc surveys (such a tracer studies and surveys of employers' attitudes) and other studies to be undertaken from time to time.
- Undertaking regular visits to the ITI and IC, to monitor the progress and process using a checklist, and consolidate quarterly monitoring reports based on the data & information received. Propose any corrective action that needs to be taken. This should be acted on by the SPD. The NPIU Monitoring & Evaluation Unit is responsible for collating these monitoring reports from SPIUs, and preparing quarterly and semi-annual monitoring reports.

The **Institutional Development and Training Unit** is responsible for:

- Raising stakeholders' awareness of the project objectives and eligibility criteria for financing.
- Contributing to the work plans of the SPIU.
- Evaluating ISPs and providing written advice on them to the SSC.
- Undertaking quality audits of institutions participating in the project.
- Conducting orientation program for IMC and IC members.
- Identifying training needs in a participatory way and preparing plans for meeting the training needs of ITIs' principals and instructors, and IC managers and trainers.

In addition to above functional units, SPIU would nominate a Nodal (Environmental and Social) Officer, who will be responsible to

- Ensure that the project is carried out in accordance with The World Bank safeguards policies and other requirements. The requirements include:
  - Development of robust environment management system and ensuring functioning of the system in ITIs

- Trainees aware of and practice good safety norms in ITI
- Apprenticeship ensures good OHS and waste management standards
- Collect and analyze data and other information on enrollment, graduation, placements, etc. of women, SCs, STs, OBCs, minorities, and persons with disabilities in ITIs and apprenticeships.
- Design strategies for enhancing inclusion of women, SCs, STs, OBCs, minorities, and persons with disabilities, in long-term skills training.
- Co-ordinate with Nodal (Environmental and Social) Officer at NPIU

### Annexure 3: Indicative staff for SAMCs and their responsibilities

The **Human Resource Consultant** (Manufacturing / Service sector) is responsible for

- Coordinate/establish liaison with establishments under the manufacturing/ service sector
- Coordinate/establish liaison with Industry clusters/Associations
- Coordinate/establish liaison with ITIs/school/college education system, district administrations for promoting apprenticeship training
- Sensitizing industries on apprenticeship training procedures
- Provide inputs to IT and communication consultant of SAMC for formulating effective reporting
- Provide short-term training/ capacity building support to Basic Training Providers (BTPs)/ Third Party Agencies (TPAs), etc. as required

The **IT monitoring consultant** is responsible for

- Assist/ develop necessary computing services, communications interfaces
- Provide technical support for the development, implementation and maintenance of computer systems and include: software, strategic information technology planning, and formulation of strategies for information technology developments, capacity planning and data base administration
- Assist in requirement analysis, design, implementation and user acceptance testing of IT monitoring and other related IT tools
- Plan, design and carryout programs, projects or assignments independently and exercises discretion on how to achieve end results
- Provide short-term training/ capacity building support to Basic Training Providers (BTPs)/ Third Party Agencies (TPAs), etc. as required
- Coordinating with Human resource consultant and communication consultant of SAMC

The **Communication expert** is responsible for

- To manage external and internal communications
- Control the dissemination of information and Promote a positive public image about the apprenticeship project
- Develop effective communication strategies for outreach of apprenticeship training
- Draft content (e.g. press releases) for mass media or website
- Organize initiatives and plan events or press conferences
- Liaison with media
- Assist in communication of strategies or messages from senior leadership
- Evaluate the impact on social media (reach and engagement)
- Provide short-term training/capacity building support; as required.
- Coordinate to compile articles and produce a newsletter highlighting achievements
- Produce relevant human-interest stories highlighting the impact
- Maintain up to date contacts list of stakeholders at state and national level
- Coordinating with Human resource consultant and IT consultant of SAMC



Annexure 4: Illustrative budget breakup for SAMC

**Table: Illustrative breakup for SAMC budget**

<b>Group A</b>		<b>Group B</b>		<b>Group C</b>	
<b>80 Lakhs</b>		<b>48 Lakhs</b>		<b>32 Lakhs</b>	
Illustrative Breakup (States have flexibility in customising and structuring as per their requirements)					
<b>Component</b>	<b>Costing for one year INR in Lakh</b>	<b>Component</b>	<b>Costing for one year INR in Lakh</b>	<b>Component</b>	<b>Costing for one year INR in Lakh</b>
1) Salary		1) Salary		1) Salary	
a) Joint Director - 1 No.	15.00	a) Deputy Director -1 No.	12.00	a) Assistant Director -1 No.	9.00
b) Consultants- 3 Nos. (Manufacturing / Service Sector)	36.00	b) Consultant- 1 No. (Manufacturing Sector)	9.60	b) Consultant- 1 Nos. (Manufacturing / Service Sector /IT Sector)	9.60
c) Consultant- 1 No. (IT Consultant)	8.40	c) Consultant- 1 No. (IT Consultant)	8.40	--	--
d) Support staff- Data Entry Operator–1 No.	1.80	d) Support staff- Data Entry Operator–1 No.	1.80	c) Support staff- Data Entry Operator–1 No.	1.80
e) Support staff- Multi Tasking Staff – 1 Nos.	1.20	e) Support staff- Multi Tasking Staff – 1 Nos.	1.20	d) Support staff- Multi Tasking Staff – 1 Nos.	1.20
2) Office equipment*	10.00	2) Office equipment*	8.50	2) Office equipment*	5.50
3) Rental for office @ 35,000 per month	4.20	3) Rental for office @ 25,000 per month	3.00	3) Rental for office @ 20,000 per month	2.40
4) Stationery	1.10	4) Stationery	1.00	4) Stationery	0.60
5) Travel Cost (For 15 days per month @ Rs.1,200/- day)	2.16	5) Travel Cost (For 15 days per month @ Rs.1,200/- day)	2.16	5) Travel Cost (For 15 days per month @ Rs.1,200/- day)	2.16

## Annexure 5: Role of stakeholders administrating IAI Grant

### 1. National Apprenticeship Unit

**Table: Role of National Apprenticeship Unit through NPIU**

S. No	Activity Description	Time Lines/Frequency
1	Design and revision of standard guidelines, operations manual and notification of any amendments/changes in the IAI grant and its implementation.	One will be immediately after the pilot phase and then as and when deemed fit.
2	Constitution and Notification of a National Cluster Evaluation Committee comprising of representatives of DGT which may including DG/DDG/Director Apprenticeship Training, Three Representatives one each from NSDC, RDAT and MSME and one representative of Industry. It shall be notified by the DGT/NPIU. The National Cluster Evaluation Committee will scrutinize all the IC applications and IAI plans as recommended/nominated by States/UTs.	As directed by National Project Director (NPD)
3	Convene National Cluster Evaluation Committee meetings for evaluating IC Applications and IAI plans recommended by States. NPIU to coordinate with states on responses, consolidate and recommend convening of meetings	Based on the response from States and within 5 days of state submitting recommendations seeking approval from National Cluster Evaluation committee.
4	Selection of 100 eligible, well performing Industry Clusters on pilot basis through the release of an advertisement or through the mode of nomination to implement Industry Apprenticeship Initiative Grant under the result area-04 of STRIVE.	Phase 1: Selection of 10 IC Phase 2: Selection of 90 ICs after 06 month
5	Communicate to the respective States/SSC regarding the decision of National Cluster Evaluation Committee on selection of ICs/IAI plans	Follow up activity at the closure of activity 4
6	Signing of 10 “Tripartite Grant Agreements” one each with selected IC on pilot basis, State Government concerned where IC is situated and GoI.	Based on the intimation and schedule fixed with State Government concerned and IC.
7	Release of first instalment of funding as applicable to States based on number of selected ICs (States in turn shall release the funds to the IC concerned)	As per guidelines outlined in the OM
8	Provide navigation support to ICs and State on registering apprentices under optional trades by coordinating with NSDC	Case Basis
9	Design Guidelines and Recommendations for Capacity Building Program for ICs and provide technical assistance to SAMC and ICs on discharging its functions	Case Basis
10	Commission and conduct tracer and evaluation studies on the effectiveness of the project, Situational Analysis of clusters, Documentation of best practices and other	Case Basis

	relevant Studies to ascertain the effectiveness of the project that can help DGT to strategize IAI implementation and design new and innovative ways of encouraging MSMEs for apprenticeship.	
11	Commission Productivity Study with empirical evidences of Cost Benefit Analysis of engaging apprentices from MSME perspective	Case Basis
12	Design and Fund advertisements for the awareness of IAI	Beginning of the project roll out and case basis
13	Organize training and outreach workshops/seminars	Case Basis
14	Identify and explore complementarity with development partners and stakeholders such as Ministry of Micro, Small and Medium Enterprises etc. on collaboration	Case Basis
15	Organize and setup necessary IT arrangements for MIS system	Before commencement of pilot project
16	Design, and undertake capacity building programme for States, Industry Clusters, RDATs, NSDC, Joint Apprenticeship Advisors (Sector Skill Council CEOs)	Case Basis

## 2. Regional Directorate of Apprenticeship Training (RDAT)

**Table: Role of RDAT in implementation of IAI**

SN	Activity Description	When
1	Participate in the evaluation process of IC applications and IAI plans as intimated by States	State will intimate the dates of 'State Cluster Evaluation Committee' meeting within 5 days of receiving application from the ICs by the State.
2	Participate in the 'National Cluster Evaluation Committee' meeting at National level to evaluate recommendations on IC and IAI plans forwarded/submitted by the States to DGT/NPIU.	As conveyed by the NPIU
3	Approval of industry plan to setup Basic Training Provider (BTP) - Receipt and review of applications from BTP by RDATs	Within 10 days of submission of BTP registration request from cluster
4	Organize Capacity Building and awareness programs	As intimated and approved by DGT
5	Undertake periodic review of States and ICs on the implementation	Case Basis
6	Implementation of NAPS <ul style="list-style-type: none"> <li>▪ Receipt, review and payment of claims from IC for stipend sharing</li> </ul>	As per the NAPS guidelines

	<ul style="list-style-type: none"> <li>▪ Receipt and review of claims from BTP on-line</li> <li>▪ Payment of cost of basic training to BTPs</li> </ul>	
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### 3. National Skill Development Corporation (NSDC)

**Table: Role of NSDC in implementation of IAI**

SN	Activity Description	When
1	Participate in the National Cluster Evaluation Committee constituted by NPIU to evaluate recommendations on IC and IAI plans submitted by states.	As conveyed by the NPIU
2	Technical inputs on IAI implementation framework /guidelines with reference to optional trades	Case Basis
3	Provide data/MIS to NPIU as per the listed KPIs of STRIVE project applicable for apprenticeship training programs conducted under optional trade category	Case Basis

### 4. Sector Skill Councils (SSC)

Under the new operational framework, NSDC is to be supported by Sector Skill Councils for rolling out apprenticeship for ‘Optional Trade’ category. Some of the key functions that Sector Skill Councils will anchor:-

- Assist industry to develop apprenticeship curricula, Empanelment of Training Providers, Certification and Assessments
- Advocacy of apprenticeship in the industry
- Registration of contracts between employers and candidates (in case they opt for stipend subsidy under NAPS). CEOs notified as Joint Apprenticeship Advisors (JAAs) for discharging this function.
- Integrating Short-Term Trainings (STT) – PMKVY with Apprenticeship Programme
- ICs can opt for joint certification with Sector Skill Councils for trades designed by ICs under non NAPs category.

### 5. State Skill Development Mission and State Engagement Officers

As per the Operational Framework for Apprenticeship in India issued in July 2018 by Ministry of Skill Development & Entrepreneurship, Govt. of India; the State Skill Development

missions (SSDMs) will be expected to take the responsibility of implementing NAPS at a state level in case of Optional Trades with the help of Sector Skill Councils. Some of the functions envisaged for SSDM and SEO are:

- Participate in the State level ‘State Cluster Evaluation Committee’ meetings convened by SAMC to assess and scrutinise IC applications and IAI plans submitted by IC. SSDM shall nominate a representative.
- To promote and implement apprenticeship training programs under the category of Optional Trades at the State level to complement NSDC's role at the National level.

## 6. Role of Industry Clusters

**Table: Role of IC in implementation of IAI**

SN	Activity Description	When	Critical Flag Points
1	Submission of IC Application Form to SAMC/State Apprenticeship Advisor.	Within 20 days of advertisement	Capturing details required in the application form with supporting documents
2	Signing of a ‘Tripartite Grant Agreement’	Within 5 days of IC selection	Coordination with State
3	Recruit initial staff for the management and formation of the AIC. Conduct needs assessments and other research within the cluster, liaise with companies about their participation in apprenticeship training, identify and liaise with basic training providers, identify capacity development and training needs of the IAI participants and partners, and on this basis submit a detailed IAI plan using a standard format to the State concerned.	Within 60 business days after receiving the first tranche of fund	Participation of member enterprises for apprenticeship training, need assessment and intent of setting up of BTP facility.
4	Constitution of various committees (as per Annexure 19)	Submission of declaration by IC within 5 days of IC’s selection	unbiased , transparent institutional structure
5	Submission of various reports	As per Section 7 below	Timely Submission
6	Coordinate and identify staff of participating members for capacity Building program	Case Basis (this activity will run parallel with apprentice training process)	Outcome oriented capacity building programme
7	Undertake outreach and awareness activity to mobilize potential apprentices	Case Basis	Encouraging the participation of female apprentices

## 7. Key compliances by Industry Cluster

SN	Report Description	Frequency
1	Submission of detailed IAI plan	Within 60 business days after receiving the first tranche of fund
2	Submission of Procurement Plan as detailed in Annexure 30	Within 60 days of period from the signing of Tripartite Grant Agreement
3	Performance cum Achievement reports capturing implementation against the “Approved IAI plan” as per Annexure 20C and Annexure 39	Every Quarter
4	Submission of Utilization Certificate to the State	As desired by NPIU/SAMC (Refer Section 4.1.2.4
5	Submission of detailed information to SAMCs on Capacity Development	Annually, along with any revision made in the IAI plan and on individual case basis
6	Submission of Annual Statutory Audit Report for the financial year along with Utilization Certificate on the prescribed format	Annually
7	Submission of Annual Completion Report by ICs to SAMCs	Annually

Annexure 6: ITIs eligible for selection under STRIVE and allocation of ITIs across states

**a. Private ITIs eligible for Selection under STRIVE**

100 top graded Private ITIs from across the country in descending order of composite score will be selected basis national level competition

**b. Government ITIs eligible for selection under STRIVE**

400 Government ITIs will be competitively selected through a state level competition basis the composite score. Distribution of total Government ITIs across states is as detailed below in Column D:

(A) State	(B) Total Govt. ITI	(C) Govt. ITI distribution as per 400	(D) Range of State-wise Allocation basis Total Govt. ITIs in each state
Andaman & Nicobar Islands	2	1	1
Andhra Pradesh	72	14	13-15
Arunachal Pradesh	5	1	1
Assam	24	5	5-6
Bihar	24	5	5-6
Chandigarh	2	1	1
Chhattisgarh	83	16	14-18
Dadra & Nagar Haveli	1	1	1
Daman & Diu	2	1	1
Delhi	15	3	3
Goa	10	2	2
Gujarat	173	32	29-35
Haryana	99	19	17-21
Himachal Pradesh	88	17	15-19
Jammu and Kashmir	37	7	6-8
Jharkhand	14	3	3
Karnataka	145	27	24-30

(A) State	(B) Total Govt. ITI	(C) Govt. ITI distribution as per 400	(D) Range of State-wise Allocation basis Total Govt. ITIs in each state
Kerala	80	15	14-17
Lakshadweep	1	1	1
Madhya Pradesh	122	23	21-25
Maharashtra*	417	77	73-81
Manipur	1	1	1
Meghalaya	5	1	1
Mizoram	3	1	1
Nagaland	2	1	1
Odisha	49	9	8-10
Puducherry	8	2	2
Punjab	112	21	19-23
Rajasthan	128	24	22-26
Sikkim	3	1	1
Tamil Nadu	63	12	11-13
Telangana	55	11	10-12
Tripura	13	3	3
Uttar Pradesh	127	24	22-26
Uttarakhand	71	14	13-15
West Bengal	128	24	22-26
<b>Grand Total</b>	<b>2184</b>		<b>400</b>

**Note:** The detailed calculation for arriving at state-wise allocation is as follows:

1. State-Allocation Data is basis NCVT MIS data of 31<sup>st</sup> May 2018 listing 2184 Govt. ITIS in the country.
2. Distribution of all 2184 Government ITIs across all states was determined. This is listed in column B.
3. Distribution of total 400 Government ITIs has been arrived on the basis of existing distribution of Government ITIs across the country. 400 ITIs are distributed across 36 states and UTs and the distribution has been rounded up to the nearest integer to ensure that each state is allocated at least 1 ITI and the calculation across states is uniform. This is listed in column C.
4. To ensure competitive selection of quality ITIs, states have been allocated a range of  $\pm 10\%$  of column C. Additionally, if state has allocated more than 50 ITIs then that state has been allocated a range of  $\pm 5\%$  of column C. This is listed in column D and states having allocated range of  $\pm 5\%$  of column C have been starred.



**Institute Strategic Plan (ISP)****Part A: Institutional Details****i. Information about ITI**

<b>S. No.</b>	<b>Information</b>	<b>Details</b>
1.	ITI Code as per NCVT MIS portal	
2.	ITI Name and Address	
3.	State/UT	
4.	Details of Principal	
	(i) Name	
	(ii) Phone	
	(iii) Email	
	(iv) Date of appointment	
5.	Is the Principal full-time?	Y/N ..... (If the Principal has been assigned any additional charge, please select No and state the additional charge(s). If No, and if the Principal is also the Principal of another ITI, please mention the details of other ITI (if the ITIs form part of a recognized ITI cluster).
6.	Year of Establishment of the ITI	
7.	Affiliation Number given by DGT	
8.	Validity of affiliation till	
9.	Grading given by Core Grading Committee	
10.	Has the ITI received support under: a) Vocational Training Improvement Project	If Yes, Utilization % as on date – include (Utilization Amount/Released Amount) a) ___% utilized out of total released amount of ___INR

	b) Upgradation of 1396 Government ITIs in PPP Mode c) Model ITI Scheme d) Any other Scheme.....	b) ___% utilized out of total released amount of ___INR c) ___% utilized out of total released amount of ___INR d) ___% utilized out of total released amount of ___INR  Note: Include funds from both center and state while listing the fund utilization and fund release
11.	Revenue generation	
	a) Does the ITI engage in any revenue generation activities? Provide details.	
	b) If yes, revenue generated during: 2015-16 2016-17 2017-18	

**ii. Enrolments, pass out and diversity**

(a) Enrolments, pass out and diversity data Summary

*(Summary of all CTS trade or any other NSQF compliant trade offered in the ITI with a minimum duration of 300 hours.)*

<b>Field</b>	<b>Value</b> As mentioned in the NCVT MIS Portal (For the academic session 2017-18)
<b>1. % ratio of number of trainee appearing in examination to total trainee enrolment</b>	
<b>2. Pass-out Rate</b> <i>(Proportion of students who passed in first attempt as a percent of total hall tickets issued)</i>	
<b>3. Proportion of Female trainees</b>	

(b) Please provide details of existing CTS Trades (For the academic session 2017-18)

Details of Available CTS Trades			Trainees on roll															
Trade Name	Sanctioned Units	Seating Capacity	Up to 6 month Course					1 Year Course					2 Year Course					Total (Trainees)
			F	SC	ST	Other	Total	F	SC	ST	Other	Total	F	SC	ST	Other	Total	
1																		
2																		
3																		
4																		
<b>Total</b>																		

(c) Please provide details of any other NSQF compliant trade offered in the ITI with a minimum duration of 300 hours(For the academic session 2017-18)

Trade Name	Duration	Dates of current/ most recent batch	Affiliation/ Industry collaboration (if any)	Sanctioned Units	Seating Capacity	Trainees enrolled				Total
						Total	% Female	%SC	%ST	
1.										
2.										
<b>Total</b>										

**iii. Details of Placement of Trainees and Industry Linkages:**

(a) Placement Data Summary (*Summary of all CTS trade or any other NSQF compliant trade offered in the ITI with a minimum duration of 300 hours*)

Field	Source	Value
<b>1. Employment/self-employment/further education rate of previous graduates</b> i.e., Rate of Wage Employment + apprenticeship engagement + higher studies + self-employment (%)	<b>Value of the academic session 2017-18</b> <i>This will include email from employer, salary slip, PF deduction proof, offer letter from company, proof of apprenticeship/higher education admission of last academic session.</i> <i>In case of self-employment, a self-declaration letter issued by the trainee along with supporting documentary proof like Trade License, proof of Enterprise set up, proof of additional earnings (bank statement) or any other suitable verifiable document.</i>	
<b>2. Number of MoUs signed with industry</b>	<b>Physical copy of MoUs signed in last 2 calendar years</b> <i>MoU should provide some benefit to ITI like student exposure program, internship/apprenticeship opportunity, industry sponsored infrastructure, teacher training, industry expert lecture, placement assistance, assistance in curriculum revamp</i>	

(b) Details of wage placement offered to trainees in the academic session 2017-18

Session	% Placement against passed	Average Annual Salary (INR)	Documentary Proof
<b>CTS trade (a)</b>			<b>Attach relevant documentary proof.</b> This will include email from employer, salary slip, PF deduction proof, offer letter from company, proof of apprenticeship/higher education admission letter or proof of self-employment.
2017-18			
<b>Other NSQF compliant trade offered in the ITI with a minimum duration of 300 hours.) (b)</b>			
2017-18			
<b>Overall (a + b)</b>			

(c) Does the ITI have a functional Training, Counseling and Placement Cell (TCPC)? **Yes / No**

If yes, please provide details of the staff members:

<b>Designation/job role</b>	<b>Full-time position at TCPC (Y/N)</b>
1.	
2.	
3.	
4.	

(d) Details of Local Industries and Industrial Relations

1) Which industrial sectors are currently active in the geographical region of the ITI?

<b>S.No.</b>	<b>Industrial Sector</b>	<b>Name of the Industries/clusters</b>
1.		
2.		
3.		
4.		

2) Please provide the details of any existing industrial tie-ups or MoUs of the ITI/IMC (or equivalent) for the sector(s).

--

**iv. On-the-job training (OJT)**

Please provide details of on-the-job training (OJT) during the last completed academic year for each of the trades/courses where OJT is required as per curricula:

Trade	% of students that undergo OJT as per the prescribed curricula	Documentary Proof
<b>CTS trades (a)</b>		<b>Attach relevant documentary proof.</b> This will include email from employer, OJT offer letter from company, ITI MoU with company on OJT
<b>Other NSQF compliant trades offered in the ITI with a minimum duration of 300 hours.) (b)</b>		
<b>Overall (a+b)</b>		

**v. Trainers and Curriculum**

(a) Please provide details of teaching staff engaged in the ITI:

<b>Instructor availability (Through NCVT MIS portal (as on date))</b>						<b>Number of trained Instructors (Out of filled posts)</b>
(A) Total instructors	(B) Sanctioned	(C) Sanction Filled (with Regular)	(D) Sanction Filled (with Contract)	(E) % Sanction Filled [(C)+(D)]/[B]	(F) Guest Lecturer for vacant sanctioned posts	(G) CITS- qualified (out of total instructors (A))

Please indicate salary of Contract Instructors: INR. \_\_\_\_\_ per month.

Date by when vacant post(s) of instructor(s) is likely to be filled. \_\_\_\_\_

(b) Please provide details of other staff engaged in the ITI:

Designation/job role	Total staff	Number of sanctioned posts	Filled out of sanctioned	
			With Regular	With Contractual
1.				
2.				
3.				
4.				
5.				
<b>Total</b>				

Indicate action initiated and date by when vacant post(s) is likely to be filled. \_\_\_\_\_

## **Part B: Strategic Plan**

**Note:** This to be determined through ISP submitted and/or testimonials (on the online portal) from principal, trainers, industry members, alumni. Additionally, the list of activities mentioned in the following sections is not exhaustive and may include other activities as identified by the ITI.

### **1. Plan for increased participation of female students :**

Please provide details of activities planned to increase the share of female students in the ITI:

- a) Studies to assess entry barriers and constraints of female youth
- b) Mobilization:
  - a. Marketing of ITI programs among female youth
  - b. Increasing career counselling targeted towards female youth
- c) Facilities:
  - a. Hostels facilities ( excluding civil infrastructure)
  - b. Improvement of sanitary facilities for female students
  - c. Transport
- d) Introduction of new courses with good labor market prospects for women
- e) Recruitment of female teachers (incl. as contract teachers)
- f) Development of institutional gender-policies and gender training of teaching and management staff
- g) Earmarked employment promotion activities for females
- h) Other activities that will ensure that the female participation rate will have increased by 25% in next 4-5 years.



**2. Plan for increased participation from disadvantaged sections of the society**

Please provide details of activities planned to increase the share of students in ITI from minority/ ST and other disadvantageous sections of the society:

- a) Studies to assess entry barriers and constraints of youth from scheduled casts and tribes
- b) Mobilization:
  - i. Marketing of ITI programs among minority/ ST youth
  - ii. Increasing career counselling targeted towards minority/ ST youth
- c) Facilities:
  - i. Hostels (excluding civil infrastructure)
  - ii. Transport
- d) Earmarked employment promotion activities for minority/ ST youth
- e) Development of institutional policies and training of teaching and management staff to address concerns of minority/ ST students
- f) Others

--

### 3. Plan for improved placement

Please provide details of activities to improve employment promotion activities to support graduates' work readiness and entry into the labor market:

- a) Upgradation of Training, Counseling and Placement Cell (TCPC):
  - i. Additional staff
  - ii. Capacity development of placement officers
- b) Introducing career counselling activities
- c) Plan to have trades under Dual System of Training
- d) Plan to have industry involvement in each and every trade running in the ITI. This will include but not limited to provide some benefit to ITI like student exposure program, internship/apprenticeship opportunity, industry sponsored infrastructure, teacher training, industry expert lecture, placement assistance, assistance in curriculum revamp
- e) Conducting placement activities (job fairs, recruitment days, job matching services, etc.)

--

### 4. Plan for increased industry linkage

Please provide details of the industries with which the ITI plans to enter into cooperation agreements and the proposed areas of cooperation.

S. No.	Enterprise	Industrial sector	Proposed areas of cooperation

**5. Proposal for increased OJT provision and other employment promotion activities**

Please provide details of activities to improve OJT:

- a) Plan to provide OJT in industry to 100% of the eligible students
- b) Improving the relevance of OJT in encouraging entrepreneurship education and training
- c) Leveraging OJT for improving soft-skills and work readiness teaching
- d) Other activities

**6. Plan for increased Labor-market relevance of proposed new and added trade areas (likelihood that graduates get jobs)**

- a) Have any studies, surveys or other measures been taken to determine the skill needs of the geographical region. Please provide details

- b) New programs:

Please provide the details of new trades to be introduced in the table below. The new trades should be introduced based on an assessment of their labor market relevance.

S. No.	Trade/Course to be Introduced	Industrial Sector	Skill demand being addressed	No. of Units to be Introduced	Cooperating enterprise, if any
1.					
2.					

**7. Plan to introduce periodic ToT refresher programs and trainer career progression policy**

- a) Please detail a strong and innovative proposal adopt/ introduce periodic ToT refresher programs and trainer career progression policy.
- b) Plan should ensure that the trained trainers/ online trainer program will be available to impart training across all the career stages of the trainers

**8. Plan to fill sanctioned strength with CITS trained trainers**

- a) Please detail a proposal to increase CITS trained trainers.
- b) Plan should ensure that the CITS trained trainers rate will have doubled until the end of the ISP duration.

**9. Others**

**9.1. Revenue generation**

Please provide details of activities proposed to be undertaken for the purpose of revenue generation

- a) New programs
- b) Refresher training for workers in industry
- c) Production and sale of goods and services during practical training
- d) Renting-out facilities to industry
- e) Others

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**9.2. Resource requirement**

- a) Total funds required to undertake the proposed activities: \_\_\_\_\_
- b) Total funds claimed under the PBGA Scheme (up to a maximum limit of INR):\_\_\_\_\_
- c) Please give the details of additional staff requirement:

S. No.	Designation	Number of personnel required	Period for which required

- d) Manner in which the funds claimed under PBGA Scheme is proposed to be used (indicative only):

**Note:**

Kindly fill the below information table basis “Eligible and Non-Eligible Expenditures for Government ITIs/Private ITIs” table mentioned in the manual under Section 3.1.7

- For government ITI, only Minor essential renovation /repair required for installation of machines allowed. This amount shall not exceed more than 5% of the total amount allocated to the ITI
- For private ITI, no civil works are allowed

S.No.	Item	Year 1	Year 2	Year 3	Year 4	Year 5	Total
<b>Non-recurring costs ( in INR lakh)</b>							
1	Minor civil works						
2	Equipment, Furniture and other goods						
3	Training of teaching and management staff						
4	ICT infrastructure						

5	Purchase of books and other learning materials						
6	<b>Sub-Total</b>						
<b>Recurring costs ( in INR lakh)</b>							
7	Salary of additional staff						
8	Facilities for trainees						
9	Misc. (please specify)						
10	<b>Sub-Total</b>						
	<b>Grant Total (6 + 10) ( in INR lakh)</b>						

- e) Plan of ITI to adopt online admissions, dual training, online examination, career progression policy for their trainers

9.3. Please provide details on plan to increase the grading score during the course of the STRIVE Project clearly indicating the plan where ITIs scored less than 50% of the category score (i.e. categories of grading parameters)

**Part C: Procurement Plan**

Procurement Plan: IMC to submit the procurement plan for ITI as per Section 4.2- Procurement guidelines in the below format:

***Illustrative- Sample Procurement Plan to be submitted by ITI***

- i. Total Planned Procurement Amount (Year 1 to Year 5):\_\_\_\_\_ ( in INR lakh)
- ii. Year –wise details of procurement of items (Goods, services etc.) are detailed below:

**A. Items to be procured in Year-1**

#	Name of items	Specifications	Trade/Course for which it is required	Total Required	Rate / Unit (in INR lakh)	Total (in INR lakh)	Method of Procurement(e.g. Shopping/Competitive Bidding)
1	<i>Machine/Tool 1</i>	<i>200, 3A</i>	<i>Course1</i>	<i>20 Nos</i>	<i>0.01</i>	<i>0.2</i>	<i>Shopping</i>
2	<i>Machine/Tool 2</i>	<i>200, 7A</i>	<i>Course2</i>	<i>10 Nos</i>	<i>2.5</i>	<i>25</i>	<i>National Competitive Bidding</i>
3	<i>Machine/Tool 3</i>	<i>200, 7A</i>	<i>Course2</i>	<i>10 Nos</i>	<i>2.5</i>	<i>25</i>	<i>National Competitive Bidding</i>
4	.	.	.	.	.	.	.
<b>Total</b>						<b>50.2</b>	

**B. Items to be procured in Year-2**

#	Name of items	Specifications	Trade/Course for which it is required	Total Required	Rate / Unit (in INR lakh)	Total (in INR lakh)	Method of Procurement (e.g. Shopping/Competitive Bidding)
1	<i>Machine/Tool 4</i>	<i>200, 3A</i>	<i>Course3</i>	<i>20 Nos</i>	<i>4</i>	<i>80</i>	<i>Shopping</i>
2	.	.	.	.	.	.	.
<b>Total</b>						<b>80</b>	

**C. Items to be procured in Year-3**

#	Name of items	Specifications	Trade/Course for which it is required	Total Required	Rate / Unit (in INR lakh)	Total (in INR lakh)	Method of Procurement (e.g. Shopping/Competitive Bidding)
1	<i>Machine/Tool 5</i>	<i>350mm, 3A</i>	<i>Course3</i>	<i>20 Nos</i>	<i>0.3</i>	<i>6</i>	<i>National Competitive Bidding</i>
2	.	.	.	.	.	.	.
<b>Total</b>						<b>6</b>	

**D. Items to be procured in Year-4**

#	Name of items	Specifications	Trade/Course for which it is required	Total Required	Rate / Unit (in INR lakh)	Total (in INR lakh)	Method of Procurement (e.g. Shopping/Competitive Bidding)
1	<i>Machine/Tool 6</i>	<i>350mm, 3A</i>	<i>Course4</i>	<i>20 Nos</i>	<i>0.4</i>	<i>8</i>	<i>National Competitive Bidding</i>
2	.	.	.	.	.	.	.
<b>Total</b>						<b>8</b>	

**E. Items to be procured in Year-5**

#	Name of items	Specifications	Trade/Course for which it is required	Total Required	Rate / Unit (in INR lakh)	Total (in INR lakh)	Method of Procurement (e.g. Shopping/Competitive Bidding)
1	<i>Machine/Tool 7</i>	<i>200, 350mm, 3A</i>	<i>Course4</i>	<i>20 Nos</i>	<i>0.3</i>	<i>6</i>	<i>National Competitive Bidding</i>
2	.	.	.	.	.	.	.
<b>Total</b>						<b>6</b>	



**Part D: Information about IMC/equivalent (If exists)**

1	Chairperson of the IMC (or equivalent)			
	(i) Name			
	(ii) Parent Organization and Designation			
	(iii) Address			
	(iv) Phone			
	(v) Fax			
	(vi) Email			
	(vii) Industrial Sector			
2	Secretary of the IMC (or equivalent) (Principal of ITI)			
3	<b><i>Industry Members</i></b>	<b><i>Name of member</i></b>	<b><i>Organization and Designation</i></b>	<b><i>Industrial Sector</i></b>
	Member 1			
	Member 2			
	Member 3			
	Member 4			
4	<b><i>State Government Representatives</i></b>	<b><i>Name of member</i></b>	<b><i>Department and Designation</i></b>	
	Member 1			
	Member 2			
	Member 3			
	Member 4			
	Member 5			
5	<b><i>(Names of any other member)</i></b>	<b><i>Name of member</i></b>	<b><i>Department and Designation</i></b>	

6	Date on which IMC (or equivalent) was registered as Society, Trust or as a Section 8 Company as per Companies Act 2013?		
7	(i) Is the Chairperson working full-time for the IMC (or equivalent)?  (ii) If no, is there any person appointed full-time for the purposes of the IMC (or equivalent)? Please provide name and contact details.		
8.	Does the IMC (or equivalent) have its own bank account (Y/N)		
9.	Has the IMC (or equivalent) been delegated the following powers.		
	a) To assess emerging skill requirements in the region and suggest changes in training courses being run in the ITI;	Y/N Please specify under what arrangement (MoU/rules/notification/others):_____	
	b) To start short-term training courses in the ITI and charge suitable fees for the same;	Y/N Please specify under what arrangement (MoU/rules/notification/others):_____	
	c) To review training needs and approve training of instructors, and of administrative/office staff;	Y/N Please specify under what arrangement (MoU/rules/notification/others):_____	
	d) To facilitate placement of ITI graduates;	Y/N Please specify under what arrangement (MoU/rules/notification/others):_____	
	e) To generate, retain and utilize any revenue that has been generated from running short-term courses, production houses, or any other income-generation activity, for the benefit of the ITI, trainees and graduates; and	Y/N Please specify under what arrangement (MoU/rules/notification/others):_____	

	f) To appoint contract faculty as per need.	Y/N Please specify under what arrangement (MoU/rules/notification/others):_____
	g) To procure goods and services	Y/N Please specify under what arrangement (MoU/rules/notification/others):_____
	h) To utilize fund, grants or budget for institute allied activities	Y/N Please specify under what arrangement (MoU/rules/notification/others):_____

**Part E: Other Supporting Multimedia Information**

- a) Testimonial of Principal on vision for ITI in next 5 years
- b) Testimonial of Faculty, alumni/students on the best practices in ITI
- c) Supporting pictures of existing infrastructure

Annexure 8: Evaluation and Selection Grid for ITIs

Evaluation and Selection Grid for ITIs – PBGA for ITIs

a. Details of ITI

<b>Name of ITI</b>			
<b>ITI code as per NCVT MIS portal</b>			
<b>State</b>			
<b>Category of ITI</b> (Whether Government or Private)			
<b>Whether ITI is graded (Yes/No)</b>			
If ITI is graded, then grade of ITI (As approved by Core Grading Committee)			
<b>Whether ITI part of any previous schemes of DGT? (Yes/No)</b> <b>Note:</b> This refers to any previous scheme of DGT such as “World bank Assisted Vocational Training Improvement Project (VTIP)”, “Upgradation of 1396 Government ITIs through Public Private Partnership (PPP)” and “Model ITI Scheme”			
<b>Scheme name</b>	<b>Was ITI part of the scheme? (Yes/No)</b>	<b>Total Amount released to ITI under the scheme</b>	<b>Utilization % (Utilization Amount/Released Amount)</b>
“World bank Assisted Vocational Training Improvement Project (VTIP)”			
“Upgradation of 1396 Government ITIs through Public Private Partnership (PPP)”			
“Model ITI Scheme”			
Any Other Scheme			

**Note:**

The above data on fund utilization is not part of the evaluation and selection grid matrix that follows. However, the data on fund utilization percentage may be used to determine the appropriate funding for the ITI under the STRIVE Project.

**b. ISP Evaluation Sheet**

Category	Criterion	Weightage (A)	**Score ( Range of score which can be assigned is 0-3) (B)	Total Score ( A * B)	Remarks
<b>Enrolments, pass out and diversity</b>	1. % ratio of number of trainee appearing in examination to total trainee enrolment	1			
	2. Pass-out Rate	1			
	3. Proportion of Female trainees	1			
	4. Quality of proposal to increase female participation rate	2			
	5. Quality of proposal to increase trainee participation from disadvantaged sections of the society	1			
<b>Placement and Industry Linkages</b>	6. Employment/self-employment/further education of previous graduates	2			
	7. Quality of proposal to increase placement support for better placement percentage and achieve higher salaries for the graduating students	2			
	8. Depth/Innovation of the planned industry linkage	1			
	9. Number of MoUs signed with industry	2			

Category	Criterion	Weightage (A)	**Score ( Range of score which can be assigned is 0-3) (B)	Total Score ( A * B)	Remarks
OJT	10. Share of trainees provided with OJT ( as per curriculum requirements)	2			
	11. Quality of proposal to increase OJT provision	2			
Trainers and Curriculum	12. Labour-market relevance of proposed new and added trade areas (likelihood that graduates get jobs)	2			
	13. Percentage of trainers with Craftsmen Instructor Training Scheme (CITS) qualification	2			
	14. Percentage of trainers vacancy as percentage of sanctioned strength	2			
	15. Quality of proposal to introduce periodic ToT refresher programs and trainer career progression policy <b>Note:</b> ToT refers to minimum 1 week of continuous training (online/offline/blended)	1			
	16. Quality of proposal to fill sanctioned strength with CITS trained trainers	1			

Category	Criterion	Weightage (A)	**Score ( Range of score which can be assigned is 0-3) (B)	Total Score ( A * B)	Remarks
	<b>Note:</b> Sanctioned Strength will be defined basis the strength approved basis NCVT affiliation guidelines.				

c. **Illustrative Scoring – Calculation of ISP Composite Score**

- i. **Composite Score:** The composite score would be sum of ISP score (out of 75 marks) and grading score (out of 25 marks). Thus, total composite score will be out of 100 marks.
- ii. **Minimum score in ISP required for selection:** 25 Marks or as decided by respective State SPIU
- iii. **The scores to grading will be as per following formula:** (Grading of ITI)\*5

Below is an illustration on the scoring methodology assuming minimum eligible ISP score at 25.

ISP Score [ Out of 75 marks]	Grading ( As per NCVT Portal)	Grading Score [Grading / 5]*25 [Out of 25 marks]	Composite Score (Sum of ISP Score and Grading Score) [Out of 100 marks]
33	2.5	12.5	45.5
40	2.2	11	51
50	2.8	14	64
74	3.9	19.5	93.5

**d. ISP Scoring Matrix (representing a guidance that can be interpreted by the Selection Panel)**

Category	Criterion	0	1	2	3
<b>Enrolments, pass outs and diversity</b>	<b>1. % ratio of number of trainee appearing in examination to total trainee enrolment</b>	< 80%	>= 80%-85%	>=85% - 90%	>= 90%
	<b>2. Pass-out Rate</b> <i>(Proportion of students who passed in first attempt as a percent of total hall tickets issued)</i>	< 40%	>=40%-50%	>=50%-70%	>=70%
	<b>3. Proportion of Female Trainees</b>	<5%	>=5%-7%	>7%-10%	>=10% OR The ITI is a women ITI
	<b>4. Quality of plan to increase female participation rate</b>	The ISP does not include a specific plan to increase female participation. Or The plan to increase female participation is unspecific and/or not consistent and feasible.	ISP includes some traditional measures to increase female participation, which can be expected to modestly increase the participation rate. Or The ISP includes plan for introduction of female oriented trades / courses related to Apparel/Dress	The ISP includes a good and convincing plan to increase female participation, which includes, apart from introducing traditionally female trades/ courses related to Apparel/Dress making, Beauty and Wellness, Stenographer, COPA, Secretarial	The ISP includes a strong and innovative plan to increase female participation through various additional measures such as special facilities for women and introducing traditionally female trades/ courses related to Apparel/Dress making, Beauty and Wellness,



Category	Criterion	0	1	2	3
			making, Beauty and Wellness, Stenographer, COPA, Secretarial Assistant (English), Food Processing etc.	Assistant (English), Food Processing etc., also includes measures to increase the share of women in other trades.	Stenographer, COPA, Secretarial Assistant (English), Food Processing etc.
	<b>5. Quality of plan to increase trainee participation from disadvantaged sections of the society</b>	The ISP does not include a specific plan to increase minority/ ST participation. Or The plan to increase minority/ ST participation is unspecific and/or not consistent and feasible.	The ISP includes some strategies to increase the share of minority/ ST participation. The measures are likely to modestly increase the number of trainees from minority/ ST families.	The ISP includes a convincing plan to increase the minority/ ST participation rate. It can be expected that the ITI will meet the applicable state quota by the end of the ISP period.	The ISP includes a strong and innovative plan to increase minority/ ST participation. It can be expected that the participation rate will clearly exceed the applicable state quota by the end of the ISP period. AND ITI is located in one of the 90 Minority Concentration Districts (MCDs) identified by Ministry of Minority Affairs
<b>Placement and Industry Linkages</b>	<b>6. Employment/ self-employment rate of previous graduates</b>	No information available Or	>=30% - 50%	>=50% and 70%	>=70%

Category	Criterion	0	1	2	3
	<i>i.e., Rate of Wage Employment + apprenticeship engagement + higher studies + self-employment (%)</i>	<30%			
	<b>7. Number of MoUs signed with industry for industrial visits of students</b>	No MoU	1 MoU	>=2- 4 MoUs	>= 4 MoUs
	<b>8. Quality of plan to increase placement support for better placement percentage and achieve higher salaries for the graduating students</b>	<p>The ISP does not include a specific plan to increase placement support.</p> <p>Or</p> <p>The plan to increase placement support is unspecific and/or not consistent and feasible.</p>	The ISP includes some measures to introduce or improve placement services provided by the ITI to graduates.	The ISP includes the introduction of substantial and new instruments to support trainees' placement.	<p>The ISP includes a strong and innovative plan to increase placement support. It can be expected that after implementation the ITI will achieve at least 20 % increase in placement rates</p> <p>Or</p> <p>The ITI already has a good placement system, and the ISP will be instrumental to expand and improve this further.</p>

Category	Criterion	0	1	2	3
	<b>9. Depth/ Innovation of the planned industry linkage</b>	<p>The ISP does not include a specific plan to improve industry linkages.</p> <p>Or The plan to increase industry linkages is unspecific and/or not consistent and feasible.</p>	<p>The ISP includes a fairly satisfactory plan to deepen industry linkages, and their implementation will increase industry involvement in a limited number of trades.</p>	<p>The ISP includes a convincing plan to deepen industry linkages, which are likely to lead to a significant expansion of industry involvement in most of the trades offered.</p>	<p>The plans to increase industry linkages are strong and innovative; they are likely to lead to substantial and sustainable relations that go beyond OJT and placement relations and affect all, or almost all, of the trades offered in the ITI.</p> <p>Or The ITI already maintains very good and innovative industry linkages. It is likely that these will be maintained or even strengthened.</p>
<b>OJT</b>	<b>10. Share of trainees provided with OJT ( as per curriculum requirements)</b>	<5%	>=5%-10%	>=10%-15%	>=15%
	<b>11. Quality of plan to increase OJT provision</b>	<p>The ISP does not include any plan to increase the provision of OJT to trainees, Or the plan presented is</p>	<p>The ISP includes a plan to increase OJT provision. It is likely that more trainees than previously - but not</p>	<p>The ISP includes plausible measures to significantly increase the provision of OJT to trainees. It can be expected that 40%</p>	<p>The plan is convincing to ensure that all trainees in those trades for which OJT is required are</p>

Category	Criterion	0	1	2	3
		unspecific and/or not adequate	all - will be undergoing OJT in the future	and more of all have a chance to undergo OJT as per curriculum requirements.	provided with OJT opportunities in future Or All trainees in the ITI are already provided with OJT
Trainers and Curriculum	12. Labour-market relevance of proposed new and added trade areas (likelihood that graduates get jobs)	The new program(s) to be added represent common trades offered in other nearby colleges as well.	The new program(s) to be added represent common trades, but selected modules are modified to fit an unmet demand by industry in India.	The new program(s) to be added represent new trades in high demand in the catchment area around ITI/in the region	The new program(s) to be added represent trades that are new generation courses like IoT, Mechatronics, Drone Technology Or The new program(s) to be added represent trades that will be designed/delivered by industry themselves
	13. Percentage of trainers with Craftsmen Instructor Training Scheme (CITS) qualification	<=20%	>=20- 30%	>=30- 50%	>=50%
	14. Percentage of trainers vacancy as percentage of sanctioned strength	>= 30%	>=20-30%	>=15-20%	<15%

Category	Criterion	0	1	2	3
	<b>15. Quality of plan to introduce periodic ToT refresher programs and trainer career progression policy</b>	The ISP does not include a specific plan to enrol staff in periodic ToT refresher programs and follow trainer career progression policy	ISP includes some traditional measures to adopt/introduce periodic ToT refresher programs and trainer career progression policy, which can be expected to modestly increase the percentage of trained trainers	The ISP includes a good and convincing plan to adopt periodic ToT refresher programs and trainer career progression policy which is expected to substantially improve the career progression of quality trainers	The ISP includes a strong and innovative plan adopt/ introduce periodic ToT refresher programs and trainer career progression policy. It can be expected that the trained trainers will be available across all the career stages of the trainers
	<b>16. Quality of plan to fill sanctioned strength with CITS trained trainers</b>	The ISP does not include a specific plan to increase CITS trained trainers Or The plan to increase CITS trained trainers is unspecific and/or not consistent and feasible.	ISP includes some traditional measures to increase CITS trained trainers, which can be expected to modestly increase the participation rate.	The ISP includes a good and convincing plan to increase CITS trained trainers, which includes, apart from recruiting CITS trained trainers, also measures to train existing trainers	The ISP includes a strong plan to increase CITS trained trainers. It can be expected that all trainers will be CITS trained until the end of the ISP duration.

**PERFORMANCE-BASED GRANT AGREEMENT**

THIS PERFORMANCE-BASED GRANT AGREEMENT (hereinafter called ‘**this Agreement**’) is made on this ..... day of ..... between the President of India acting through ....., Director General/ Addl. Secretary, Ministry of Skill Development and Entrepreneurship, Government of India, New Delhi (hereinafter called ‘**the First Party**’);

The Governor/ Administrator of the State/UT of..... acting through ..... Secretary/Principal Secretary, Government of ..... (address) (hereinafter called ‘**the Second Party**’)

AND

....., the Chairperson of the Institute Management Committee for the ITI with the name of ..... located at ..... (hereinafter called ‘**the Third Party**’)

(hereinafter jointly called “the Parties”).

WHEREAS the First Party has launched, with assistance from The World Bank, the Skills Strengthening for Industrial Value Enhancement (STRIVE) Project with the main objective to increase access to quality and market-driven vocational training provided in ITIs and apprenticeships;

AND WHEREAS the First Party envisions to provide results-based funding to ITIs to incentivize ITIs to improve their performance;

AND WHEREAS in pursuance of the above, the First Party has launched the Performance-Based Grant Agreement (hereinafter called ‘**PBGA**’) that envisions to provide grant to selected ITIs based on their performance on mutually agreed indicators, in accordance with the operations manual for the STRIVE Project (hereinafter called ‘**the Operations Manual**’) adopted by the First Party and as amended from time to time;

AND WHEREAS the Third Party commits to the objectives of the STRIVE Project, and undertakes to conduct its operations and affairs under the STRIVE Project in accordance with sound technical, financial, procurement, managerial, environmental and social systems, and labor standards, consistent with the minimum requirements set forth in the Operations Manual and the environmental and social practices applicable to the STRIVE Project;

AND WHEREAS the Parties enter into this Agreement to specify the targets with respect to the performance of the Industrial Training Institute ..... (name and full address) (hereinafter called ‘**the ITI**’); and the corresponding funding arrangements.

## **THE PARTIES HEREOF AGREE AS FOLLOWS:**

### **1. Term**

This Agreement shall remain in effect until closure of Project <sup>20</sup>

### **2. Amount and Purpose**

- a. The First Party undertakes to make available to the Third Party, upon request and subject to the terms and conditions provided herein, in particular the provisions set forth in Clause 7 hereinafter, funding as per allocation approved by the National Steering Committee (hereinafter called ‘the NSC’) established by the First Party in accordance with the Operations Manual.
- b. The Third Party shall apply all funds from funding provided under the PBGA exclusively towards the financing of activities as provided for in the Institute Strategic Plan (hereinafter called ‘the ISP’) prepared by it in accordance with Clause 3 hereinafter and for the purposes laid down in the Operations Manual.
- c. The Second Party undertakes to monitor the performance of the ITI regularly and to share monitoring reports with the First Party. This is necessary to ensure that funds are released to the Third Party in accordance with the terms and conditions provided in the Operations Manual.
- d. The Parties shall be guided by the Operations Manual in the execution of their responsibilities under this Agreement.

### **3. Institute Strategic Plan**

The Third Party would implement ISP as per the guidelines laid down in the Operations Manual

### **4. Key Performance Indicators**

The following Key Performance Indicators (hereinafter called ‘KPIs’) shall be measured under the PBGA, on the basis of performance on which amount shall be provided to the Third Party:

1. Percentage increase in number of graduates at the respective ITI
2. Increase in female enrolment rate across trades being conducted at the respective ITI

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<sup>20</sup> The closing date (end of disbursement period) should not exceed the STRIVE Closing Date.

3. Percentage increase in total enrolments at the respective ITI
4. Increase in percentage of total trainees at the respective ITI who have undergone OJT as per the prescribed curriculum

The targets for each KPI and the amount corresponding to each target are specified in the Operations Manual.

## **5. Eligible Expenditures**

The Third Party shall utilize the funds received under the PBGA for expenditures recognized as eligible in the Operations Manual. Utilization of funds for any other expenditure shall not be considered valid under this Agreement.

## **6. Project Accounts**

- a. The Third Party shall designate the account of the Institute Management Committee Society account to be used for the sole purposes of the PBGA. Such account shall be called the ITI Project Account.
- b. All funds released under the PBGA by the First Party shall be transferred to the ITI Project Account of the Third Party, through Second Party.
- c. The Third Party shall make all expenditures in relation to and for the purpose of the PBGA from the ITI Project Account.

## **7. Release of Funds**

- a. The First Party shall release to the Third Party, through Second Party, grants amounting to **40%** of the allocation approved by the NSC upon execution of this Agreement and as specified in the Operations Manual.
- b. For further installments after the release of funds under sub-clause (a) above, the Third Party shall make an application for release of funds in accordance with the Operations Manual.
- c. The Third Party shall be entitled to receive funds allocated only against those targets that it is able to meet in accordance with the timeline agreed upon and laid down in the Operations Manual.
- d. The Third Party that is not meeting agreed milestone at a specified point in time, will not receive the corresponding funding related to the target milestone, irrespective of actual expenditure already effected.



- e. Additionally, if the Third Party achieves the milestone in succeeding year(s) during the course of the STRIVE, the fund(s) corresponding to that milestone shall be released in that year.
- f. The Third Party shall be entitled to receive funds when:
  - i. The Third Party has achieved one or more targets for KPIs in accordance with the timeline set forth in the Operations Manual;
  - ii. The Second Party has verified that such target(s) has/have been achieved; and
  - iii. The Third Party submits evidence that it has incurred expenditure up to the amount of funds allocated for the target(s) against which funds have been claimed.
- g. If the expenditure incurred by the Third Party to achieve a milestone exceeds the amount of funds allocated for such milestone, the Third Party shall not be entitled to receive amount in excess of the allocated amount of funds.

## **8. Release of Amount only on Achievement of Targets**

The First Party shall not be liable to provide amount to the Third Party if the targets for KPIs as laid down in the Operations Manual are not achieved, even if the Third Party incurs expenditure in undertaking activities towards the achievement of the targets or in undertaking other activities for the purposes of the PBGA.

## **9. Procurement and Financial Management**

The Third Party shall carry out all procurement activities and maintain records and accounts adequate to reflect the operations, resources and expenditures incurred in the implementation of the ISP in accordance with procurement and accounting practices as set forth in the Operations Manual; and have such records and accounts audited in accordance with appropriate auditing principles consistently applied by an independent auditor, in accordance with the Operations Manual.

## **10. Monitoring**

The Third Party shall:

- a. Establish and/or maintain policies and procedures that would allow the First Party, Second Party and/or The World Bank to carry out supervision and monitor its activities under the PBGA;
- b. Prepare and furnish to the First Party, Second Party, The World Bank and/or its representatives, all such information that the First Party, Second Party and/or The

World Bank, shall reasonably request in relation to its activities under the PBGA; and

- c. Accept random and/or unannounced physical or documentary inspections by the First Party, Second Party and/or The World Bank for the monitoring of, and in relation to, the carrying out of its activities under the PBGA.

## **11. Anti-Corruption**

The Third Party shall undertake all activities under the PBGA in compliance with The World Bank’s Guidelines on Preventing and Combating Fraud and Corruption in Program-for-Results Financing dated February 1, 2012 and revised July 10, 2015 (**‘the Anti-Corruption Guidelines’**).

## **12. Suspension and Termination**

- a. The First Party and/or the Second Party shall have the right to suspend or terminate the right of the Third Party to withdraw and use the proceeds of the released amount:
  - i. Upon any failure of the Third Party to perform its obligations under this Agreement; or
  - ii. Upon The World Bank declaring the Third Party ineligible under the Anti-Corruption Guidelines.
- b. The Third Party acknowledges and consents to the First Party’s right of restitution of any amounts released under this PBGA with respect to which fraud and corruption has occurred, or with which an ineligible expenditure has been paid.

## **13. Environmental and Social Systems**

The Parties shall carry out the Project in accordance with environmental and social systems set out in The World Bank’s Environmental and Social Systems Assessment, dated June 30, 2016, as amended from time to time, and applicable to the Project, which sets forth the Project’s environmental and social benefits, risks and impacts, and recommends remedial measures to strengthen the social and environmental systems performance

Signed at ..... day of .....2019

**For and on behalf of**

The Governor/  
Administrator

**For and on behalf of**

IMC as Chairperson

**For and on behalf of**

The President of India

**State/UT Government of**

.....

(.....)

**Secretary**

**Government of .....**

(.....)

**(Shri /Smt.....)**

(.....)

**Director General, DGT,  
Ministry of Skill  
Development and  
Entrepreneurship,  
Government of India**

**Witnesses**

**1.**

**2.**

**Witnesses**

**1.**

**2.**

**Witnesses**

**1.**

**2.**

## Annexure 10: Indicative reform activities for States

The participating States/UTs are eligible to expend the funds received under this result area to carry out the indicative and preferred reform activities in their State/UT

- i. Centralized admission process
- ii. Data reporting on MIS
- iii. Reforms including examination system
- iv. Refresher training for ITI trainers in industry
- v. Establishing equivalence of CTS certificate with State Board certificate
- vi. Encouraging dual training as a policy measure
- vii. Increased financial and administrative autonomy to ITIs
- viii. Increased enrolment of ST trainees
- ix. Any other activity related to achievement of KPIs or any activity related to skill development

**Table: Description of Additional/Preferred Reform Activities**

Reform activity	Definition/ Description
1. Centralized admission process	The State/UT shall develop a centralized admission process at the State/UT level that may be used by a candidate to seek admission into any of the NCVT or SCVT affiliated Government ITIs within the State. This may be developed as an online or offline system, or provide both options to applicants, depending upon the requirements of the State/UT.
2. Data reporting on MIS	The State/UT shall capture and report to the NCVT MIS as per the provisions of the MIS. The State/UT shall keep the NCVT MIS updated all the times.
3. Examination reforms including on-line examination	The State/UT shall ensure implementation of examination reforms including: conducting online examination process, timely declaration of results, outcome-based assessment, fairness and transparency in the examination procedure, transparency in appointment of examiners, streamlining process of uploading marks, among others.
4. Refresher training of ITI trainers in industry	The State/UT shall ensure at least 10% of the total ITI trainers from Government ITIs in Year 3, and at least 20% additional ITI trainers from Government ITIs in Year 4, receive refresher training conducted by, and within, an industry relevant to the trades being taught by such trainers. The training must be of a minimum duration of 20 hours in a year. The ITI trainers must be regular/contract teaching staff teaching NCVT and/or SCVT trades.

<p>5. Establishing equivalence of CTS certificate with State Board certificate</p>	<p>The State/UT shall issue a notification, in consultation with State /UT Board, establishing that:</p> <ul style="list-style-type: none"> <li>(i) CTS certificate for 2-year long courses taken after Class 10<sup>th</sup> are equivalent to the Class 12<sup>th</sup> Certificate issued by the State/UT education board; and</li> <li>(ii) CTS certificate of 2-year long courses taken after Class 8<sup>th</sup> are equivalent to the Class 10<sup>th</sup> Certificate issued by the State/UT education board.</li> </ul> <p>The state will do the needful for such equivalence.</p>
<p>6. Encouraging dual training as a policy measure</p>	<p>The State/UT shall prepare a strategy document detailing its plan on how it intends to promote dual training for CTS courses (including training mode of apprenticeship) within the State/UT.</p>
<p>7. Increased financial and administrative autonomy to ITIs</p>	<p>The State/UT shall prepare a policy on creation of IMCs with industry partners for Government ITIs in order to increase the financial and administrative autonomy of the ITIs.</p>
<p>8. Increased enrolment of ST trainees</p>	<p>The State/UT shall encourage ITIs to increase enrolment from ST trainees making environment conducive for people from this vulnerable group by taking into consideration some incentives and/or opening relevant trades.</p>

Above list is indicative only and the participating State/UTs may undertake any reform activity that further the objectives of the Project in the State/UT.

Annexure 11: Categorization of States and fund allocation under Result Area 2

Category C		Category B		Category A	
State	No. of Govt. ITIs	State	No. of Govt. ITIs	State	No. of Govt. ITIs
Andaman & Nicobar Islands	2	Andhra Pradesh	72	Gujarat	173
Arunachal Pradesh	5	Assam	24	Haryana	99
Chandigarh	2	Bihar	24	Karnataka	145
Dadra & Nagar Haveli	1	Chhattisgarh	83	Madhya Pradesh	122
Daman & Diu	2	Himachal Pradesh	88	Maharashtra	417
Delhi	15	Jammu and Kashmir	37	Punjab	111
Goa	10	Kerala	80	Rajasthan	128
Jharkhand	14	Odisha	49	Uttar Pradesh	129
Lakshadweep	1	Tamil Nadu	63	West Bengal	128
Manipur	1	Telangana	55		
Meghalaya	5	Uttarakhand	71		
Mizoram	3				
Nagaland	2				
Puducherry	8				
Sikkim	3				
Tripura	13				

State/UT	Funding under Result Area 2 (INR crore)	State/UT	Funding under Result Area 2 (INR crore)
Andaman & Nicobar Islands	2.30	Lakshadweep	2.25
Andhra Pradesh	10.80	Madhya Pradesh	16.50
Arunachal Pradesh	3.30	Maharashtra	29.00
Assam	7.80	Manipur	2.25
Bihar	7.80	Meghalaya	3.30
Chandigarh	2.30	Mizoram	2.60
Chhattisgarh	11.50	Nagaland	2.30
Dadra & Nagar Haveli	2.25	Odisha	9.40
Daman & Diu	2.30	Puducherry	4.40
Delhi	6.80	Punjab	16.00
Goa	5.10	Rajasthan	16.80
Gujarat	18.70	Sikkim	2.60
Haryana	15.50	Tamil Nadu	10.20
Himachal Pradesh	11.80	Telangana	9.70
Jammu and Kashmir	8.60	Tripura	6.10
Jharkhand	6.50	Uttar Pradesh	16.80
Karnataka	17.50	Uttarakhand	10.70
Kerala	11.30	West Bengal	16.80

#### Calculation for arriving at State-wise fund allocation:

	Category A	Category B	Category C
Minimum Allocation (INR Crores)	15.2	7.3	2.25
Block Size	13 ITIs	8 ITIs	2 ITIs
Increment for block (INR Crores)	0.55	0.50	0.70
Maximum Allocation (INR Crores)	29	11.80	6.80

To remove the disparity of fund distribution in each category, allocation has been done on the basis of incremental amount of INR 50 -70 Lakhs for each block (block represents number of government ITIs; width of block depending on the category) with minimum amount to each state in that category.

In each block also, the increment amount will be evenly distributed. The minimum amount is also in line with the maximum amount of funds a state has received in next lower category. This will appropriately incentivize the states with larger number of ITIs in their respective category and remove the disparity highlighted earlier. This uniform distribution of funds in each state would further incentivize states to take appropriate reform activities to strengthen long-term skilling ecosystem in their states.

MEMORANDUM OF UNDERSTANDING

BETWEEN

THE PRESIDENT OF INDIA

AND

THE GOVERNOR/ADMINISTRATOR

Of

THE STATE /UT .....

IN CONNECTION WITH

SKILLS STRENGTHENING FOR INDUSTRIAL VALUE ENHANCEMENT  
(STRIVE) PROJECT



## MEMORANDUM OF UNDERSTANDING

THIS MEMORANDUM OF UNDERSTANDING (hereinafter called **‘this MoU’**) is made on this ..... day of ....., 2018 between the President of India acting through ....., Director General/Addl. Secretary, Ministry of Skill Development and Entrepreneurship, Government of India, Kaushal Bhawan, New Delhi (hereinafter called **‘the First Party’**)

AND

The Governor/ Administrator of the State/UT of..... acting through ....., Secretary/Principal Secretary, Government of ..... (address) (hereinafter called **‘the Second Party’**)

(hereinafter jointly called **‘the Parties’**)

WHEREAS the First Party has launched the Skills Strengthening for Industrial Value Enhancement (STRIVE) Project (hereinafter called **‘the STRIVE Project’, or ‘Project’**) with the main objective to improve access to quality and market-driven vocational training provided in Industrial Training Institutes (hereinafter called **‘ITIs’**) and apprenticeships;

AND WHEREAS the First Party has found that a results-based approach to funding is an optimal way to incentivize and empower States and Union Territories (hereinafter called **‘UTs’**) to improve the management and quality of vocational training;

AND WHEREAS in pursuance of the above and under one of the result areas of the Project – “Increased capacities of State Governments to support ITIs and Apprenticeship Training”, the First Party has launched the “Performance-Based Funding Agreement for States/UTs” (hereinafter called **‘PBFA’**) that envisions to provide grant funding to States and Union Territories based on their performance on agreed indicators, in accordance with the operations manual for the Project adopted by the First Party and as amended from time to time (hereinafter called **‘the Operations Manual’**);

AND WHEREAS the Second Party commits to the objectives of the Project, and undertakes to carry out all activities under the Project in accordance with sound technical, financial, procurement, managerial, environmental and social systems, and labor standards, consistent with the minimum requirements set forth in the Operations Manual and the environmental and social systems assessment applicable to the Project;

AND WHEREAS the Parties enter into this MoU to specify the performance targets and the corresponding grant funding arrangements.

## **THE PARTIES AGREE AS FOLLOWS:**

### **1. Term**

This MoU shall remain in effect until closure of Project<sup>21</sup>

### **2. Amount and Purpose**

- a. The First Party undertakes to make available to the Second Party, upon request and subject to the terms and conditions provided herein grant funding as per allocation approved by the National Steering Committee (hereinafter called ‘**the NSC**’) established by the First Party in accordance with the Operations Manual.
- b. The Second Party shall submit to the First Party, plans approved by the State Steering Committee (hereinafter called ‘**SSC**’) to be established by the Second Party in accordance with Clause 3.i) below, for utilization of grant funding provided under the Project.
- c. The Second Party shall ensure utilization of all funds from grant funding provided under the Project exclusively towards the financing of activities within the areas and for the purposes laid down in the Operations Manual.
- d. The Parties shall be guided by the Operations Manual in the execution of their responsibilities under this MoU.

### **3. Conditions of Participation**

- a. The Second Party agrees to the following conditions of participation in the Project:
  - i. The Second Party shall establish and thereafter maintain, throughout the period of implementation of the Project, a State Steering Committee as per the Operations Manual for providing overall guidance and supervision on the implementation of the Project by the Second Party.
  - ii. The Second Party shall establish and thereafter maintain, throughout the period of implementation of the Project, a state project implementation unit (hereinafter called ‘**SPIU**’) as per the Operations Manual. The SPIU shall be provided with competent, experienced and qualified staff and consultants, in sufficient numbers and in accordance with the Operations Manual, and vested with powers, financial resources, functions and competences, to serve as the focal unit in carrying out of the day-to-day implementation and management of the Project.

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<sup>21</sup> The closing date (end of disbursement period) should not exceed the STRIVE Closing Date.

- iii. The Second Party shall establish and thereafter maintain, throughout period of implementation of the Project, a State Apprenticeship Monitoring Cell (hereinafter called 'SAMC') as per the Operations Manual.
  - iv. The Second Party shall carry out the selection of Industrial Training Institutes to participate in the performance based grant agreement for ITIs of the First Party in accordance with the Operations Manual issued by the First Party; and
  - v. The Second Party shall carry out the selection of Industry Clusters (hereinafter called 'ICs') to participate in the industrial apprenticeship initiative (IAI) grant agreement of the First Party in accordance with the guidelines of Operations Manual issued by the First Party.
- b. Subject to clause 8.a) and 8.b) below, in case the Second Party fails to meet any of the conditions specified in sub-clause ( a ) above, it shall not be entitled to receive any funding under the PBFA.

#### **4. Eligible Expenditures**

- a. The Second Party shall utilize the funds received under the Project for expenditures recognised as eligible under the Operations Manual or for any other purpose as committed in the plan submitted by Second Party and further approved by First Party. Utilization of funds for any other expenditure shall not be considered a valid utilization under this MoU, in particular for the purposes of Clause 8.b).

#### **5. Procurement**

- a. The Second Party shall prepare and submit to the First Party a procurement plan detailing its procurement requirements and the proposed methods of procurement to be used.
- b. The Second Party shall ensure adoption of the procurement guidelines laid down in the Operations Manual in order to make any procurement with the funds provided under the Project.

#### **6. Financial Management**

- a. The Second Party shall designate an account of a Society within its control and operation as the dedicated project account to be used exclusively for the purposes of this PBFA (hereinafter called '**the STRIVE Project Account**').
- b. All funds released under the PBFA shall be transferred by the First Party to the Project Account through State Treasury via Public Financial Management System (hereinafter called '**PFMS**').

- c. The Second Party shall make all expenditures in relation to and for the purpose of the PBFA from the Project Account.
- d. The Second Party shall ensure transfer of funds to ITIs and ICs covered under the Project from State Treasury as laid down in the Operations Manual.
- e. The Second Party shall ensure maintenance of records and accounts adequate to reflect, in accordance with sound accounting practices, the operations, resources and expenditures incurred in the implementation of its respective activities under the STRIVE Project; and have such records and accounts audited in accordance with appropriate auditing principles consistently applied by an independent auditor.

## **7. Monitoring and Supervision**

The Second Party shall:

- a. Establish and/or maintain policies and procedures that would allow the First Party to carry out supervision and monitoring the implementation of its activities under the Project;
- b. Prepare and furnish to the First Party, all such information that the First Party shall reasonably request in relation to the Project;
- c. Accept random and/or unannounced physical or documentary inspections by the First Party for the monitoring of, and in relation to, the carrying out of the activities under the Project.
- d. Supervise performance of Performance Based Funding Agreement ITIs (hereinafter called “**PBFA ITIs**”) covered under the Project in their state by monitoring Key Performance Indicators (hereinafter called “**KPIs**”) of PBFA ITIs as mentioned in Operations Manual.
- e. Supervise performance of ICs covered under the Project in their state by monitoring KPIs as mentioned in the Operations Manual.

## **8. Release of Funds under the PBFA**

- a. The First Party undertakes to make available to the Third Party through the Second Party, upon request and subject to the terms and conditions provided herein, grant funding as per allocation approved by the NSC under Clause 2 above after the signing of this MoU.
- b. Notwithstanding anything contained in sub-clause (a) above, where the Second Party fails to meet any of the conditions of participation specified under Clause 3 of

this MoU, it shall be liable to refund to the First Party the amount received under sub-clause (a) above.

- c. After the first instalment stated in sub-clause (a) above, the First Party shall release funds to the Second Party on an annual basis in accordance with the Operations Manual.
- d. In order to receive the funds, the Second Party shall make an application to the First Party in accordance with the Operations Manual.
- e. The First Party shall have the right to suspend or terminate the right of the Second Party to withdraw and use the funds under this PBFA upon any failure of the Second Party to perform its obligations under this MoU.

#### **9. Grant Funding only on Achievement of Targets under the PBFA**

- a. The First Party shall not be liable to provide any grant funding to the Second Party if the targets for Key Performance Indicators as laid down in **Annexure 1** are not achieved, even if the Second Party incurs expenditure in undertaking activities towards the achievement of the targets or in undertaking other activities for the purposes of the PBFA.

#### **10. Key Performance Indicators under the PBFA**

- a. The list of KPIs as agreed by the Parties for the funding under PBFA is annexed at Annexure 1.
- b. The targets for each KPI and the grant funding corresponding to each target shall be agreed upon by the Parties, which may be amended from time to time on agreement between the Parties.

#### **11. Anti-Corruption**

- a. The Parties shall ensure that all activities under this MoU are carried out in accordance with the provisions of The World Bank's Guidelines on Preventing and Combating Fraud and Corruption in Project-for-Results Financing dated February 1, 2012 and revised July 10, 2015.
- b. The First Party has the right of restitution of any amounts released under this PBFA with respect to which fraud and corruption has occurred, or for which an ineligible expenditure has been paid.

**12. Environmental and Social Systems**

- a. The Parties shall carry out the Project in accordance with environmental and social management systems set out in The World Bank’s Environmental and Social Systems Assessment, dated June 30, 2016, as amended from time to time, and applicable to the Project, which sets forth the Project’s environmental and social benefits, risks and impacts, and recommends remedial measures to strengthen the social and environmental systems performance.

Signed at ..... this day of .....2019.

**For and on behalf of**

The Governor/ Administrator

**For and on behalf of**

The President of India

**State/UT Government of**

.....

(.....)

**Secretary**

.....,

**Government of .....**

(.....)

**Director General, DGT, Ministry of Skill  
Development and Entrepreneurship,  
Government of India**

**Witnesses**

**1.**

**2.**

**Witnesses**

**1.**

**2.**

## Annexure-1

### Target Key Performance Indicators (KPIs)

We the following two parties have jointly agreed to year-wise targets of Key Performance Indicators (KPIs) mentioned below to be achieved under the “Performance Based Funding Agreement”

Sl. No.	Key Performance Indicators	Baseline	Target				
			2018-19	2019-20	2020-21	2021 - 22	2022-23*
1.	Development of career progression policy including recruitment, training and allied initiatives. (States must have developed trainer’s development plan based on the guidelines provided by MSDE. The same must be approved by SSC.)	NA	30% Advance on signing of PBFA				
2.	Percentage Reduction in vacancies as proportion of sanctioned strength in ITI (measured as Percentage of total trainers (permanent or contract teachers) from total sanctioned posts for NCVT trades in govt. ITIs)						
3.	Number of tracer studies conducted (One tracer study to be conducted)	NA					

\* Till November 2022

Signed at ..... this day of .....2019.

**For and on behalf of**

The Governor/ Administrator

**For and on behalf of**

The President of India

**State/UT Government of**

.....

(.....)

**Secretary**

.....,

**Government of .....**

(.....)

**Director General, DGT, Ministry of Skill Development and Entrepreneurship, Government of India**

**Witnesses**

**1.**

**2.**

**Witnesses**

**1.**

**2.**



Annexure 13: Template for Career Sustainability Plan

**The same is being developed and will be shared with the States.**

## Annexure 14: Application form for Selection of Industry Clusters

**Name of Applying Industry Cluster:**

**State:**

**Date of Application:**

### 1. Basic information

(a) Name of Industry Cluster (IC)		
(b) State		
(c) Address (both postal address and website)		
(d) Contact person name and designation (email, phone number, landline, fax)		
(e) Legal status/reg. number		
(f) Year of establishment of the IC		
(g) Number of staff employed by the IC	Full-time	Part-time
(h) List main services provided by the IC to its members <sup>22</sup>		
(i) Other activities conducted by IC in the cluster <sup>23</sup>		

<sup>22</sup> Services may include advocacy, assisting its members to access market, supporting innovation, building capacity for competitiveness among cluster firms, training of employees, skill development etc.

<sup>23</sup> For e.g., organizing fairs, imparting skill training, engaging of apprentices, conduct of training for member industries, etc.). This is an indicative list and the IC can mention any other activity which is deemed relevant (conducted in 2017-18)

## 2. Characteristics of the IC members

(a) How many companies/enterprises are members of the IC?	Number of member companies/enterprises:					
	Manufacturing:		Services:			
(b) Member companies/enterprises by industrial branch (trade) and size	Industrial branch (trade) (e.g. CNC, metal fabrication, etc.)	<sup>24</sup> No of companies/enterprises as on	Of which			
			micro	small	medium	large
(c) No of member companies/enterprises for the last three years	Year 2016	Year 2017	Year 2018	Total		
(d) Total count of resources – training managers, supervisors in the members	Number of employees:					

<sup>24</sup> The Government of India has enacted the Micro, Small and Medium Enterprises Development (MSMED) Act, 2006 in terms of which the definition of micro, small and medium enterprises is as under: Enterprises engaged in the manufacture or production, processing or preservation of goods as specified below:

- A micro enterprise is an enterprise where investment in plant and machinery does not exceed Rs. 25 lakh;
- A small enterprise is an enterprise where the investment in plant and machinery is more than Rs. 25 lakh but does not exceed Rs. 5 crore;
- A medium enterprise is an enterprise where the investment in plant and machinery is more than Rs. 5 crore but does not exceed Rs. 10 crore.
- Apart from the above description by MSME Ministry any other enterprise where the investment in plant and machinery exceeds Rs. 10 crore would be considered large enterprises

For Service sector:

Enterprises engaged in providing or rendering of services and whose investment in equipment (original cost excluding land and building and furniture, fittings and other items not directly related to the service rendered or as may be notified under the MSMED Act, 2006 are specified below.

- A micro enterprise is an enterprise where the investment in equipment does not exceed Rs. 10 lakh;
- A small enterprise is an enterprise where the investment in equipment is more than Rs. 10 lakh but does not exceed Rs. 2 crore;
- A medium enterprise is an enterprise where the investment in equipment is more than Rs. 2 crore but does not exceed Rs. 5 crore.
- Apart from the above description by MSME Ministry any other enterprise where the investment in equipment exceeds Rs. 5 crore would be considered large enterprises

enterprises who will be involved in Project implementation	
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### 3. Previous Training Activities in the IC

(a) Does the IC already have a training unit/skill development cell to identify the training needs of its member enterprises?	Yes	No	
(b) If yes:	Year of establishment of training unit?		
	How many staff employed at training unit?	Part-time	Full-time
(c) How many people received training organized by the IC in the previous calendar year (2017-18)? How many of the people trained are women?			
(d) Does the IC have its own training centre? If yes:	Number of workshops available in the training centre:	Status of equipment availability in workshops	
		Workshop with no equipment – _____ Workshop with basic/intermediate level equipment – _____ Workshop with advanced level equipment – _____	
	Courses/ trade-training offered (list any courses specifically designed for women)		
(e) How many member companies/enterprises of IC have been involved in			

apprenticeship training in the previous calendar year (2017)?	
(f) Total apprentices trained and share of women	People trained by members of IC in various apprenticeship programs _____ Share of women in the above _____

**4. Implementation of Industry Apprenticeship Initiative (IAI)**

(a) Has IC identified any training programs where its members will engage apprentices? Provide details of such identified apprenticeship programs with rational clarifying its need in the cluster and the impact it can make in the cluster.

(b) How does IC plan to secure commitment from its members for the implementation of IAI?

(c) What are the Employment prospects of apprentices who will be trained by participating members of IC?

**5. Members support from Cluster**

**Total Member Industries in Cluster** \_\_\_\_\_

**Number of Member Industries who will participate in IAI implementation** \_\_\_\_\_

<b>S. No</b>	<b>Member Name</b>	<b>Declaration whether participating member are currently engaging or had engaged apprentice in past (if yes, how many apprentices with details on trade)</b>	<b>How members plans to participate in IAI</b> <i>(e.g. Engage apprentice, hire apprentice post training, provide workstation for training, provide equipment's/tools, provide office space for project etc.)</i>

Supporting Documents to be enclosed

1. Copy of legal documents such as registration certification establishing the legal status of the cluster organization as defined in Section 1 – Basic Information
2. Support letters from members highlighting intent of participation in IAI along with List of member enterprises who will participate in the IAI
3. Any other document to support the responses required in section 1, 2, 3 and 4 of the Application form.

Annexure 15: Standard Evaluator Sheet –IC Application Form

**Standard Evaluator Sheet – Reference for evaluating IC Application Form**

Name of industry cluster \_\_\_\_\_ State \_\_\_\_\_

Evaluation date \_\_\_\_\_

Evaluation conducted by (<Name> <Designation>)

1. \_\_\_\_\_,
2. \_\_\_\_\_,
3. \_\_\_\_\_,

Selection criterion	Scores (0-2)	Multiplication factor	Total Score	Remarks
1. Years of operation of IC		1		
2. Size (Number of members) of the IC		1		
3. IC staff		1		
4. Services offered by IC		1		
5. Training unit/apprenticeship cell		2		
6. Training centre owned by IC		2		
7. Number of people trained in by IC		1		
8. Apprenticeship activities of IC members		2		
9. Number of women trained		1		
10. Understanding of Industry Apprenticeship Initiative (IAI)		2		
<b>Summary scores</b>				
<b>Note:</b> Total maximum score: 28; Selection threshold (50 % and above of maximum scores: 14)				

**Scoring Rubric (representing a guidance that can be interpreted by the Selection Panel)**

Criterion	Score		
	0	1	2
1. Year of establishment of IC	The IC is not older than three years.	The IC is in existence for 3 to 10 years.	The IC is ten years or older in existence.
2. No of Member Enterprises who have Consented to be part of IAI	Number of member enterprises below 20	Number of member enterprises between 20 and 50.	Number of member enterprises above 50.
3. IC staff	The IC organization has no full- or part-time staff employed by the IC	The IC has up to 5 staff	The IC has more than 5 staff.
4. Services offered by IC	The IC is not offering any structured services to its members	The IC is involved in advocacy only.	The IC offers services to its members that goes beyond advocacy
5. Training unit / skill development/ apprenticeship cell	The IC has no training unit/ apprenticeship cell.	The IC has a training unit/apprenticeship cell, but without a full-time staff	The IC has a training unit/ apprenticeship cell, and managed by at least one full-time dedicated staff member
6. Training centre owned by IC	The IC has no own training centre/workshop.	The IC has its own training centre, with workshop(s) having basic level equipment	The IC has an own training centre, with workshop(s) having basic, intermediate and advanced level equipment
7. Number of people trained by IC and its members	Nobody was trained in the previous calendar year (2017-18)	Up to 200 people were trained in the previous calendar year (2017-18)	More than 200 people were trained in the previous calendar year (2017-18)
8. Apprenticeship activities of IC members	None of the IC members are currently involved in apprenticeship training	Up to 5 member companies/enterprises are involved in apprenticeship training in the previous calendar year (2017)	More than 5 member companies/enterprises are involved in apprenticeship training in the previous calendar year (2017)
9. Number of women apprentices trained	No one trained	Up to 10% of the total trained	Above 10% of the total trained



10. Understanding of IAI	IC has not identified any trade, there is no strategy defined by IC as to how it will engage its members and there is no employment prospects suggested by IC for apprentices	The project includes some details desired in section 4, however, are not elaborated and inconsistent.	The project includes a comprehensive and coherent understanding and appreciation of IAI plan (IC has provided details on trade, member engagement and employment prospects). Methodologies and instruments still need to be developed and further capacity building can enhance the IC's detailed plan.
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**Note –**

1. IC applications from North East, LWE, and hilly region including J&K should be given additional weightage and relaxation in evaluation for different parameters. Application evaluators led by SAMC should also give preference to ICs which are working with unique character of the cluster such as – ethnicity, product or services that cluster operates on and demography. Scrutiny committee led by NPIU reserves the final right and power of allowing relaxations for selection process considering inclusivity. SAMC shall consult NPIU before considering such relaxations while evaluation.
2. Selection criteria and IC application form is subject to further changes based on the learnings from Pilot; NPIU reserves the right to make suitable changes in the Application Form template/rubrics.

**TRIPARTITE GRANT AGREEMENT**

THIS GRANT AGREEMENT (hereinafter called ‘**this Agreement**’) is made on this ..... day of ..... between the President of India acting through ....., Director General/Joint Secretary, Ministry of Skill Development and Entrepreneurship, Government of India, Shivaji Stadium, New Delhi (hereinafter called ‘**the First Party**’);

The Governor/ Administrator of the State/UT of..... acting through ..... Secretary/Principal Secretary, Government of ..... (address) (hereinafter called ‘**the Second Party**’)

AND

....., the Chairperson of the Industry Cluster with the name of ..... located at ..... (hereinafter called ‘**the Third Party**’)

(hereinafter jointly called “the Parties”).

WHEREAS the First Party has launched, with assistance from The World Bank, the Skills Strengthening for Industrial Value Enhancement (STRIVE) Project (hereinafter called ‘**the STRIVE Project**’) with the main objective to increase access to quality and market-driven vocational training provided in ITIs and apprenticeships;

AND WHEREAS the First Party, under the STRIVE Project, envisions to incentivize industry clusters through grant funding to implement industry-driven high quality apprenticeship training programs;

AND WHEREAS in pursuance of the above, the First Party has launched the Industry Apprenticeship Initiative (hereinafter called ‘**IAI**’) that envisions to provide grant funding to industry clusters based on achievement of agreed milestones, in accordance with the operations manual for the STRIVE Project adopted by the First Party and as amended from time to time (hereinafter called ‘**the Operations Manual**’)

AND WHEREAS role of Second Party undertakes to monitor the performance of the Third Party regularly in accordance with the provisions and procedures set forth in the Operations Manual through State Apprenticeship Monitoring Cell (SAMC)

AND WHEREAS the Third Party commits to the objectives of the STRIVE Project, and undertakes to conduct its operations and affairs under the STRIVE Project through a Governing Committee in accordance with sound technical, financial, procurement, managerial, social and environmental, and labor standards, consistent with the minimum requirements set forth in the

Operations Manual and the environmental and social systems assessment applicable to the STRIVE Project;

**THE PARTIES HEREOF AGREE AS FOLLOWS:**

**1. Term**

This Agreement shall be effective ..... and shall remain in effect until .....<sup>25</sup>

**2. Amount and Purpose**

- e. The First Party undertakes to make available to the Third Party through the Second Party, upon request and subject to the terms and conditions provided herein, grant funding in the maximum aggregate amount of \_\_\_\_\_
- f. The Third Party shall apply all funds from grant funding provided under the IAI exclusively towards the financing of activities within the areas and for the purposes laid down in the Operations Manual.
- g. The Second Party undertakes to monitor the performance of the Third Party regularly in accordance with the provisions and procedures set forth in the Operations Manual.
- h. The Parties shall be guided by the Operations Manual in the execution of their responsibilities under this Agreement.

**3. Milestones**

- d. The Third Party shall be entitled to grant funding only on achievement of agreed milestones, as set forth in the approved IAI plan.
- e. The Second Party shall be responsible for verifying the achievement of milestones by the Third Party.

**4. Eligible Expenditures**

- a. The Third Party shall utilize the funds received under the IAI to finance the eligible expenditures set forth in the Operations Manual. Utilization of funds for any other expenditure shall not be considered eligible under this Agreement.
- b. The funds received under the IAI shall not be used to finance:

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<sup>25</sup> The closing date for this grant agreement (end of disbursement period) shall not exceed the Closing Date for STRIVE (November 30, 2022).

- i. Stipends for apprentices;
- ii. Activities excluded from the STRIVE Project in accordance with the agreement between the Government of India and The World Bank; and
- iii. Any other expenditure not allowed under the Operations Manual.

## **5. Release of Funds**

- a. The First Party shall release to the Second Party the total funding applicable to Third Party as per the milestones. The Second Party in turn will release to the Third-Party grant funding as per the approved IAI plan.
- b. For further installments after the release of funds under sub-clause (a) above, the Third Party shall make an application for release of funds in accordance with the Operations Manual to second party.
- c. The First Party shall release funds to the Third Party through the Second Party when:
  - i. the Third Party has achieved one or more milestones as set forth in the Schedule and submits necessary request to the Second Party along with proof of achievement(s) ;
  - ii. the Second Party has verified that such milestone(s) has/have been achieved following the guidelines on fund utilization as per the financial guidelines of the STRIVE implementation manual ;
- d. The Third Party shall open a dedicated account for the above purpose
- e. The First Party has the right to freeze the account in case of any suspicious/fraudulent activities by the Third Party as reported by the Second Party.
- f. If the expenditure incurred by the Third Party to achieve a milestone exceeds the amount of funds allocated for such milestone, the Third Party shall not be entitled to receive grant funding in excess of the allocated amount of funds.

## **6. Grant Funding only on Achievement of Milestones**

The First Party will abide to release funds as per the stated milestones as per Annexure 1.

The First Party shall provide proportionate grant funding to the Third Party through Second Party as stated below:

- a. If the Third Party fails to complete milestone 2 during year 1 and 2, the proportionate amount on achievement of actual number; as per the capacity development of staffs of participating enterprises; against the approved IAI plan can be claimed by the ICs. However, the proportionate release is permissible only once

during the project period, unclaimed proportion may be claimed at the end of the project.

- b. If the Third Party fails to complete milestone 3 during year 1 and 2, the proportionate amount on achievement of actual number; as per the trainees with whom apprenticeship contracts have been signed; against the approved IAI plan can be claimed by the ICs. However, the proportionate release is permissible only once during the project period, unclaimed proportion may be claimed at the end of the project.
- c. With respect to milestone 4, Third Party can claim the amount on submission of end of project report. The remaining proportion of funds for milestone 2 and 3 which has been achieved and not claimed, can be claimed by the ICs along with submission of the End of Project Report.

## **7. Procurement**

- a. The Third Party shall follow the procurement guidelines laid down in the Operations Manual in order to make any procurement with the funds provided under the IAI.
- b. The Third Party agrees to constitute a Works and Procurement Committee as defined under the Procurement Guidelines in the Operations Manual.

## **8. Monitoring and Reporting**

Second Party through State Apprenticeship Monitoring Cell (SAMC) on behalf of the First Party will supervise and monitor the activities of the Third Party.

- a. The Third Party shall:
  - i. Establish and/or maintain policies and procedures that would allow the First Party, Second Party and/or The World Bank to carry out supervision and monitor its activities under the IAI;
  - ii. Prepare and furnish to the First Party, Second Party and/or The World Bank, all such information that the First Party, Second Party and/or The World Bank, shall reasonably request in relation to its activities under the IAI; and
  - iii. Accept random and/or unannounced physical or documentary inspections by the First Party, Second Party and/or The World Bank and/or its representatives for the monitoring of, and in relation to, the carrying out of its activities under the IAI.
- b. The Third Party shall:

- i. Maintain records and accounts adequate to reflect, in accordance with sound accounting practices, the operations, resources and expenditures incurred in the carrying out of all activities under the IAI; and
- ii. Have such records and accounts audited in accordance with appropriate auditing principles consistently applied by an independent auditor, in accordance with the Operations Manual.

c. Anti-Corruption

- i. The Third Party shall undertake all activities under the IAI in compliance with Central Vigilance Commission (CVC) guidelines of Government of India issued from time to time.

d. Suspension and Termination

- i. The First Party shall have the right to suspend or terminate the right of the Third Party to withdraw and use the proceeds of the grant funding on the recommendations of the Second Party:
  - upon any failure of the Third Party to perform its obligations under this Agreement; or
  - upon The World Bank declaring the Third Party, or any of its members benefiting from the grant funding, ineligible on the basis of sanctions imposed by the World Bank
- ii. The Third Party acknowledges and consents to the First Party's right of restitution of any amounts released under STRIVE project with respect to which fraud and corruption has occurred, or with which an ineligible expenditure has been paid.
- iii. During the course of the contract period of the IC, if it is found that after initial and subsequent disbursements of the funds, the IC is unable to perform its functions as per IAI plan or else reneges its responsibility under the contract or IC decides to exit the project or IC is suspended by Second/First Party on performance ground, then the following action would become inevitable and necessary
  - Third Party (IC) to surrender unspent funds to state (Second Party)
  - Assets of the IC (Third Party) created out of STRIVE funds must be surrendered to state (Second Party) within \_\_\_ days of such surrender.
  - IC (Third Party) should present itself for closure audit under clause \_\_\_\_ of the OM.
  - IC (Third Party) should have its books, records and accounts readily available for inspection by First Party/Second Party/Government of India or Comptroller and Auditor General (CAG)

- IC (Third Party) should provide Utilization Certificates for all monies spent under the STRIVE project to respective states (Second Party)

e. Change of ownership of IC

- i. The Third Party agrees to abide by this agreement even in case there is change of ownership of IC.

**9. Environmental and Social Systems**

The Parties shall carry out the STRIVE Project in accordance with environmental and social management systems set out in the Environmental and Social Systems Assessment, dated June 30, 2016, as amended from time to time, and applicable to the STRIVE Project, which sets forth the STRIVE Project’s environmental and social benefits, risks and impacts, and recommends remedial measures to strengthen the social and environmental systems performance<sup>26</sup>.

Signed at ..... day of .....20..... .

**For and on behalf of**

The Governor/  
Administrator

**State/UT Government of**

.....

(.....)

**Secretary**

**Government of .....**

**For and on behalf of**

Industry Cluster as  
Chairperson

(.....)

**(Shri /Smt.....)**

**For and on behalf of**

The President of India

(.....)

**Director General, DGT,  
Ministry of Skill  
Development and  
Entrepreneurship,  
Government of India**

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<sup>26</sup> Environmental management includes safeguard implementation and adherence to regulations such as environmental and occupational health and safety (waste management including e-waste, hazardous waste, batteries) and infrastructure design to suit the needs of physically challenged apprentices.

**Witnesses**

**1.**

**2.**

**Witnesses**

**1.**

**2.**

**Witnesses**

**1.**

**2.**



## Annexure 1 – Project Milestones as per dully approved IAI plan

**Note:** This table will be populated with actual numbers based on approved IAI Plan

S. No	Percentage of Funds to be released	Milestone	Disbursement Protocol
1	40%	Signing of grant agreement	Upon signing
2	20%*	Percentage of staff (IC member enterprise/AIC/BTP/other partners of IC) who have undergone capacity development programs	Upon achievement of consolidated 3-year target or on achievement of actual result on a proportionate basis (Proportionate release permissible only once during the project period, unclaimed proportion may be claimed at the end of the project)
3	30%*	Percentage of estimated trainees with whom apprenticeship contracts have been signed	Upon achievement of consolidated 3-year target, or on achievement of actual result on a proportionate basis (Proportionate release permissible only once during the project period, unclaimed proportion may be claimed at the end of the project)
4	10%	End of Project report	Upon submission of end of project report. The remaining proportion of funds for milestone 2 and 3 which has been achieved and not claimed, can be claimed along with submission of the End of Project Report.

**Note:**

- A tripartite “Grant agreement” amongst Govt. of India (First Party), respective State (Second Party) and Industry Cluster (Third Party) valid for the entire duration of project period shall be signed between the concerned parties. This shall be followed by submission of a comprehensive “IAI Plan” on the prescribed format by the IC. Once approved the same shall be valid for a period 3 years/project period under the STRIVE project and may be renewed/revalidated to incorporate emerging requirements/trade in the subsequent years. Only the approved “IAI PLAN” is to be implemented by the IC concerned.
- The milestone-linked release are indicative in nature subject to changes depending upon the exact requirement(s)/IAI plan of concerned IC.
- Funds released at milestone 2 is linked to at least 50% of funds being utilised in milestone 1. Similarly, funds released at milestone 3 is linked with 100% utilization of funds at milestone 1 and minimum 25% of funds utilised in milestone 2.
- Funds at milestone 4 shall be released on submission of completion report inter-alia completion implementation of approved IAI plan

- In-order for the IC to be eligible for payment for achievement of Milestone 4, a minimum of 50% of planned apprentices must be either engaged in apprenticeship training or, have appeared for the trade test,
- \*balance outstanding amount from disbursement head 2 and 3, in table above, once targets have been achieved shall be released in final disbursement
- Verification of milestones will be carried out as per framework designed by Independent Verification Agency being hired by NPIU

## Annexure 17: IAI Proposal

### I. Planned IAI Activities

(1) How many member companies/enterprises of the IC are expected to participate in the IAI activities? (list of enterprises to be attached)			
(2) Any other important partner in the IAI and the role it will play			
(3) Estimated number of apprenticeship contracts to be signed (Number of apprentices member companies/enterprises will engage with)	Male	Female	Other
	SC	ST	

(4) Please provide details of identified training programs proposed to be carried out through Industry Apprenticeship Initiative (IAI):

Type	Name of IC members who will provide apprenticeship training	Category Designated trade/ Optional trade*	Duration	Trainee strength in each programme	Whether IC will provide Basic Training or tie-up with a registered BTP
*Trade / course/ training program 1					
Trade / course/ training program 2					
Trade / course/ training program 3					

Trade / course/ training program 4					
Trade / course/ training program 5					
Total trainees					

**\*Note:** Selection of trade is completely demand led and shall be discretion of IC. (Please mention “(O)” in case it is planned to introduce an optional trade and “D” in case for Designated Trade). Refer designated trades notified under Apprenticeship Act/Rules (source# <https://apprenticeshipindia.org> ); Optional trades as approved by NSDC (provide details of standards being used from Sector Skill Council)

For trades opted by IC, kindly elaborate details – relevance with the labour market and rational with the cluster requirements; how was the trades identified and the process of selection; strategy for designing new curriculum etc.	
Trade 1 – <Name>	Details
Trade 2 – <Name>	
Trade 3 – <Name>	
Trade 4 – <Name>	
Trade 5 – <Name>	

(5) What does the IC plan to do in order to attract more female apprentices (outline your strategy)			
(6) Estimated number of apprentices to be trained under the IAI by IC? Clearly define Number of women to be trained. (Please mention ‘NA’ if not yet known.)	Year 1	Year 2	Year 3
	Of which female:	Of which female:	Of which female:

(7) What is the Employment prospects of apprentices who will be trained by participating members of IC?

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(8) What type of basic training institute will you collaborate with under the IAI? Also provide name of such institutes, if already known	IC- owned training centre	Company- training centre of IC member	External training institute <sup>27</sup>	Other (please specify)	Not yet known

(9) Provide approximate details of in-kind support extended by participating members for Basic Training such as Tools/Equipment's/Training Space/AIC office space etc.	
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(10) Provide details about planned activities to improve the training skills and capacity building plan for participating enterprises, supervisors, and staff engaged in the IAI delivery.

**Note** – Below activities are indicative and applicable according to the requirement of IC and nature of trades opted by the IC. IC is also encouraged to propose any other innovative additional activities as part of capacity building program. IC should provide supporting information to substantiate the plan defining how the outcomes will help IC achieving the objectives which it could not do otherwise in absence of capacity building program

Activity (for 3 years)	Number	Subject/content of training program	Expected Outcomes	Who will provide the training
BTP Trainer to be trained				
Supervisor to be trained				
AIC staff to be trained				

<sup>27</sup> External training institute -ITIs/Polytechnic Colleges/ Commercial Training/ Skilling Centre/ Skill provider/ Training Partner as defined section 2.3 of (e) of Basic Training Provider guidelines

Manager/member enterprise to be trained				
Manager/member enterprise to be trained				
Workshops to be organized				
Other Training programs to be conducted for cluster members				

(11) What are the plans for mobilizing SC/ST and members from disadvantage community?

(12) What are the Quality assurance mechanism (using logbooks, supervision by IC, workshops, etc.) put in place by IC for the implementation of the apprenticeship program?

(13) How likely is it that the apprenticeship program will continue after implementation of the STRIVE project? How will the AIC be financed in the future?

(14) What are the arrangements for Occupational Health and Safety for Apprentices who will be trained?

## II. Estimated Budget

	Total cost to be covered under the IAI Grant, in INR	% of total grant
<b>Apprenticeship program Development Cost</b>		
Consultancy costs (needs assessments, curriculum development, etc.)		
Production/purchase of teaching and learning material		
Other		
TOTAL Development Cost		xx
<b>Capacity Development Cost (training of stakeholders)</b>		
Training of company supervisors and company managers		
Further training of teachers from basic training institutions		
Others		
TOTAL Capacity Development Cost		XX
<b>Apprenticeship Training Cost</b>		
Tools/Equipment's		
Training material		
Insurance		
Transport		
Other		
TOTAL Training Cost		Xx

	<b>Total cost to be covered under the IAI Grant, in INR</b>	<b>% of total grant</b>
<b>Organization and Facilitation (Apprenticeship Cell, etc.)</b>		
Staff Cost		
Office expenses, communication		
Other		
TOTAL Organization and Facilitation		xx
<b>Communication &amp; Outreach</b>		
Communication and Outreach Costs - Workshops		
<b>GRAND TOTAL</b>		

\* ICs should further populate the budget with details and greater specification on the unit cost heads, add additional line items subject to review by SAMC and their qualification to the eligible cost heads mentioned in the manual.

\*\* Please note that the cost of stipends is not covered under STRIVE. The cluster or individual enterprises may, however, apply for grants under these categories under any other applicable government scheme such as NAPS

**Supporting Documents:**

- List of member’s enterprises who will be engaging apprentices in the cluster
- Details of BTP setup (if planned) and details of BTP partner (if outsourced) with details such as affiliation, training facilities, staff qualification etc.
- Details of the Need Assessment instrument/process IC has used to determine the selection of trade
- Details of strategy in case IC has opted to design any trade/curriculum
- Details of Capacity Building Plan



Annexure 18: Standard Evaluator Sheet –IAI Plan

**Standard Evaluator Sheet – Reference for evaluating IAI activity plan submitted by ICs**

Name of industry cluster : \_\_\_\_\_

State : \_\_\_\_\_

Evaluation date : \_\_\_\_\_

Feasibility Aspect			
Evaluation Score			
Recommended Action (Tick √)	IAI plan approved	IC to revise the IAI plan	IAI plan stands rejected

Evaluation conducted by screening committee:

S. No	Member	Name	Designation	Signature
1	SAA			
2	NSDC			
3	RDAT			
4	SSDM			
5	SAMC			
6	SAMC			
7	Private Sector			
8	Others			

## Evaluation Score Summary

Percent Score	Quality of Response	Description	Strengths relatives to requirements	Weakness	Confidence in Proposed Approach
80-100	Excellent – IAI plan approved	The IAI plan addresses the requirements completely, exhibits outstanding understanding of the requirements, creativity, innovation or other factors to justify this rating.	Meets requirements - numerous strengths in key areas.	None	Very High
50-79	Moderate - IC to revise the IAI plan and submit to SAMC	The plan meets some of the application requirements. SAMC can keep such plans in buffer	Meets some of the requirements with some clear strengths.	Exist in key areas - outweighs strengths	Low
0-49	Poor - IAI plan stands rejected and IC need to surrender the funds.	The plan meets a few to none of the application requirements.	Meets a few to none of the requirements with few or no clear strengths.	Significant and numerous	No Confidence

### **Note –**

1. The project believes in the principle of strengthening the ICs and not rejecting their candidature on the ground of marginal points. SAMC will be extending technical assistance in building the capacity of IC by identifying the areas in the IAI plan that can be strengthened and improvised. In worst case scenario and lack of critical information on substantial grounds in IAI, the OM also provisions where IC application can be rejected and IC needs to surrender the fund.
2. IC applications from North East, LWE, and hilly region including J&K should be given additional weightage and relaxation in evaluation for different parameters. Application evaluators led by SAMC should also give preference to ICs which are working with unique character of the cluster such as – ethnicity, product or services that cluster operates on and demography. Scrutiny committee led by NPIU reserves the final right and power of allowing relaxations for selection process considering inclusivity. SAMC shall consult NPIU before considering such relaxations while evaluation.
3. Selection criteria and IAI plan form is subject to further changes based on the learnings from Pilot; NPIU can make suitable changes in the plan/rubrics.

### Standard Evaluator Sheet – Reference for evaluating IAI plan

Evaluators to read each plan and evaluate based on the requirements in the IAI application form.

Selection criterion	Scores (0-3)	Multiplication factor	Total score	Remarks
1. Trade Selection and Apprentice Programs		2		Evaluator to assess the selection of trade proposed by IC. STRIVE emphasis on combination of workplace + basic training in integrated manner
2. Relevance for female youth		3		Applicant IC will receive higher weightage if participation of women apprentices have more than 20% share in projection.
3. Relevance with Labour Market/Employability of Apprentices		3		IAI emphasise on quality and relevance of IAI plan with labour market. Evaluators to assess the relevancy of trades proposed by IC with reference to employability of apprentices
4. Quality of Basic Training Providers		1		Apprenticeship is combination of workplace and class room (basic training) in an integrated manner in one training program and curriculum. Evaluator to assess quality provisions in basic training.
5. Appropriateness of the capacity building concept		2		Evaluator to assess the capacity building plan, its details with reference to the prescription suggested in implementation manual and score accordingly. The score depends on the degree of details and supporting information such as nature of capacity building programs, intended outcomes, credential of consultant/organization who will undertake capacity building programs.
6. Relevance for youth from SC or ST backgrounds		1		% population of SC/ST in apprentice registration
7. Quality assurance concept for the implementation of the apprenticeship program		2		Evaluator to assess the provision of quality control instruments proposed by IC to ascertain the leaning outcomes for apprentices/adherence with Apprenticeship Act/OM guidelines etc.

8. Sustainability prospects		2		Evaluator to assess ICs readiness for continuance of AIC after implementation of the STRIVE project And ascertain the sustainability instruments for AIC.
9. Quality of concept to ensure adherence with OHS and environmental standards		1		Evaluator to assess arrangements for Occupational Health and Safety for Apprentices
<b>Summary scores</b>		51		

**Note:** Total maximum score: 51 and Selection threshold (50 % and above of maximum scores): 25

**Scoring Rubric (representing a guidance that can be interpreted by the Selection Panel)**

Criterion	0	1	2	3
1. Trade Selection and Trade Programs	IC fails in proposing at least two trades ( <i>IC needs to rework IAI plan</i> )	Trades selected by IC are under designated/ optional trade where candidates have undergone some formal basic training (NSQF aligned)	If IC has opted for at least one trade which includes both basic and industrial training in an integrated manner and its training program/curriculum is designed by IC	If IC has opted for more than one trade which includes both basic and industrial training in an integrated manner and its training program/curriculum is designed by IC
2. Relevance for female youth	The suggested AT programs doesn't feature participation of female in its IAI plan	The suggested AT programs represent typical trades/ occupational preferred by males and it is not likely that a significant number of female youth will be interested. There	The program involves balanced approach to increase the female enrolment in traditionally trades preferred by males, and the likelihood that female youth will enrol in high.	The program is fully or predominantly addressing female youth.
3. Relevance with Labour Market /Employment prospects of graduates  Across all proposed apprenticeship programs to be introduced	Graduates are rather unlikely to find a job after training.  The plan does not make a convincing argument that graduates find a job after training	There are some chances for graduates to find a job in the field of training after completion of the apprenticeship program.  There are chances for graduates to find contract jobs after completion of the training, or apprentices can become self-employed	A fair percentage of successful graduates are likely to be employed by the apprenticeship offering companies, others may find jobs in other companies.	Under current economic conditions all successful graduates will have a chance to be permanently employed by the companies that offer the apprenticeship

<p>4. Quality of Basic Training Providers</p>	<p>The BTP has not been established, and it is uncertain whether it will be able to develop into a reasonable provider within the project duration. or The BTP has no adequate facilities and teaching staff, and no previous record of delivering good quality training</p>	<p>The BTP is new, but likely to develop into a good quality provider with the support that is intended under the project.</p>	<p>The BTP is an established training provider that will need considerable upgrading in terms of facilities and capacity building of staff to deliver the required training at required standards</p>	<p>The BTP is an established training institution that is known to provide high quality training</p>
<p>5. Appropriateness of the capacity building concept</p>	<p>The plan does not include activities to build capacities of company or BTP staff</p>	<p>The plan includes some capacity building activities , but these are not based on a systematic needs assessment</p>	<p>The plan includes activities to increase capacities of both IC, supervisor and BTP staff, which are based on needs assessments, but it is not sure whether these can be sustained after completion of the project</p>	<p>The plan includes comprehensive, systematic and well planned activities to increase the capacities of company and BTP staff according to needs, which are likely to be continued after the end of the project</p>
<p>6. Relevance for youth from SC or ST backgrounds</p>	<p>The program does not target SC or ST youth</p>	<p>The program is accessible to ST or SC youth, but no specific initiatives are undertaken to attract them.</p>	<p>The program is designed to be accessible for ST or SC youth, and initiatives to raise their participation are part of the plan</p>	<p>The program specifically targets youth from SC or ST backgrounds</p>
<p>7. Quality assurance concept for the implementation of</p>	<p>The project does not include any plan to introduce quality assurance of the apprenticeship delivery.</p>	<p>The project includes a commitment to QA activities, which, however, are not elaborated and consistent.</p>	<p>The project includes a comprehensive and coherent QA plan. Methodologies and instruments still need to be</p>	<p>The project includes a consistent and commendable QA plan covering both in-company and school-based</p>

the apprenticeship program	The plan proposed for quality assurance is insufficient.		developed and further capacity built.	training. Instruments and methodologies are developed and of high quality.
8. Sustainability prospects	Training is not likely to continue after implementation of the STRIVE project	The plan includes a sustainability concept that relies on assumptions that are very uncertain	The plan includes a sustainability concept, which includes some uncertainties	Under current economic conditions, the program is likely to continue in a self-financing manner
9. Quality of concept to ensure adherence with OHS and environmental standards	The plan has no concept for OHS and environmental standards adherence.  Apprentices are likely to be exposed to adverse OHS and environmental standards while in training.	OHS and environmental conditions in apprenticeship providing companies are not in accordance with required standards, but the plan includes measures to improve these conditions.	OHS and environmental conditions in some of the apprenticeship providing companies are not in accordance with required standards, but the plan includes effective measures to increase conditions up to standards	Apprentices will be trained in safe and environmentally friendly environments

## Annexure 19: Committees of Industry Clusters (IC)

In order to perform various functions towards effective implementation of IAI grant, it is incumbent upon an IC to constitute certain committees as per the composition depicted below:

S. No	Committee Name	Description
1	Governing Committee (GC)	<p>GC shall be main committee responsible for overall supervision and the programme implementation among its member organizations, review the overall progress and Key performance indicators, Quarterly meetings with its members and partnerships with third part aggregators and third party training providers, quality assurance of apprenticeship training programmes, assessment/certification of apprentices and their placement.</p> <p><b>Composition:</b> IC shall form a Governing Committee with members as below:</p> <ol style="list-style-type: none"> <li>1. Chairperson (from IC) – 1</li> <li>2. Member Secretary (from IC) – 1</li> <li>3. Nominated members (from IC) – 4 (participation of at least 1 women member is desirable)</li> <li>4. Treasurer (from IC) - 1</li> </ol>
2	Works & Procurement	<p>This committee shall be responsible for entire procurement process pertaining to purchase of goods, works and services involving call for quotations, review, finalization of contract, selection of vendors/consultant etc. It shall be responsible for preparation of a consolidated procurement plan and get it approved by the GC of IC, the same shall be submitted along with IAI plan to NPIU in case of selection of 10 IC under pilot basis and to SAMCs of States concerned in respect of subsequent 90 ICs.</p> <p><b>Composition</b></p> <ol style="list-style-type: none"> <li>i. Chairperson /Vice Chairperson of the Governing Committee of IC-----Chairperson</li> <li>ii. Member Secretary of Governing Committee of IC ----- -----1 Member</li> <li>iii. Treasurer of IC-----1 Member</li> <li>iv. Representatives of Business member organizations who are not part of Governing Council of IC---4 Members</li> </ol>
3	Grievance Redressal	<p>All selected ICs are required to establish a grievance redressal committee who shall be responsible to receive grievances from the apprentices, public, suppliers/vendors, stakeholders etc. and same shall be first processed /resolved at IC level, failing which at the SAMC Level. The States through SAMCs will monitor the grievance status of each IC to ensure appropriate redressal of complaints. The appellate authority shall be NPIU</p>



**Annexure 20A: Format for Quarterly Performance cum Achievement Report - For ITIs**

The KPI wise ‘Physical Progress’ and ‘Financial Utilization’ achieved during the period from \_\_\_\_\_ to \_\_\_\_\_ against the target is provided as below:

**Physical Progress:**

<b>KPI</b>	<b>Baseline</b>	<b>Target</b>	<b>Achievement</b>
i. Percentage increase in number of graduates at the respective ITI			
ii. Increase in female enrolment rate across trades being conducted at the respective ITI			
iii. Percentage increase in total enrolments at the respective ITI			
iv. Increase in percentage of total trainees at the respective ITI who have undergone OJT as per the prescribed curriculum			

**Financial Utilization:**

<b>KPI</b>	<b>Fund Released</b>	<b>Date of release</b>	<b>Fund utilized till date</b>
Advance			
i. Percentage increase in number of graduates at the respective ITI			
ii. Increase in female enrolment rate across trades being conducted at the respective ITI			
iii. Percentage increase in total enrolments at the respective ITI			
iv. Increase in percentage of total trainees at the respective ITI who have undergone OJT as per the prescribed curriculum			

- a. Certified that out of total INR. .... sanctioned during the above mentioned period against the target mentioned above, a sum of INR. .... has been utilized
- b. Certified that I have satisfied myself that the conditions on which the grants-in-aid was sanctioned have been duly fulfilled and that I have exercised the following checks to see that the money was actually utilized for the purpose for which it was sanctioned.

Signature of Authorized Signatory  
 Designation:  
 Date:

Annexure 20B: Format for Quarterly Performance cum Achievement Report - For Result Area 2

State :

**Physical Progress:**

The KPI wise performance achieved during the period from \_\_\_\_\_ to \_\_\_\_\_ against the target is provided as below:

KPI	Target	Achievement

**Financial Utilization:**

Fund Released	Date of release	Fund Utilized till date

- a. Certified that I have satisfied myself that the conditions on which the funds were released have been duly fulfilled and that the money was actually utilized for the purpose for which it was released.

Signature of Authorized Signatory

Designation:

Date:

Annexure 20C: Format for Quarterly Performance cum Achievement Report – For Industry Clusters

(To be submitted for every quarter on completion of the previous quarter)

**1. Details of the Industry Cluster:**

(a) Name of Industry Cluster (IC)	
(b) State	
(c) Address	
(d) Contact person	Name:  Designation:
(e) Contact details	Email id: Mobile no. Land line no. Fax

**2. Status on planned IAI Activities against the approved IAI plan up to the quarter \_\_\_\_\_ of 20\_\_:**

(A) Capacity development of participating enterprises

Criterion	Details
(a) How many member companies/enterprises of the IC are expected to participate in the IAI activities?	Target total _____ Target Achieved as on date of reporting _____
(b) Number of staff (IC member enterprise/AIC/BTP/other partners of IC) who have undergone capacity development programs	Target Total: _____ Target Achieved as on date of reporting _____

(B) Trades started:

Name of the trade	Duration	Designated/ Optional	Apprentices enrolled			
			Male	Female	Others	Total


(C) Apprentices contracts signed and registered by authority (RDAT/SAA/NSDC) concerned:

Criterion	Details	Remarks
(a) Estimated number of apprenticeship contracts to be signed (Number of apprentices member companies/enterprises will engage with)	i. Target Total: _____ ii. Gender wise breakup: Male _____ Female _____	Kindly provide the information as stated in the approved IAI plan
(b) How many number of contracts have been signed and registered by authority (RDAT/SAA/NSDC) concerned	i. Target Achieved as on date of reporting: _____ In percentage with respect to Target: _____% ii. Gender wise breakup of the above Male _____ Female _____ Others _____ Gender wise break-up in percentage Male _____ Female _____ Others _____ iii. Social status of the apprentices engaged General _____ OBCs _____ SC _____ ST _____	Mention the status on contracts

(D) Expenditure incurred:

	Approved IAI Budget	Expenditure at the time of reporting
Apprenticeship program Development Cost		
Capacity Development Cost (training of stakeholders)		
Apprenticeship Training Cost		

	<b>Approved IAI Budget</b>	<b>Expenditure at the time of reporting</b>
Organization and Facilitation (Apprenticeship Cell, etc.)		
Communication & Outreach		
<b>GRAND TOTAL</b>		
<b>% utilization at the time of reporting</b>		

(E) Enclose any other supporting reports/documents supporting the activity listed under A, B and C

**Authorized signatory of the Industry cluster**

.....

**Certificate of internal auditor  
(Applicable only every six months)**

Certified that I have satisfied myself that the conditions on which the Grants in Aid was sanctioned/released have been duly fulfilled and I have exercised the following checks to see that fund was actually utilized for the purposes for which it was sanctioned.

Kinds of checks exercised:-

- i. Registers and records maintained for recording receipt of grant.
- ii. Bank Statements, Cash Book, Ledgers
- iii. All Vouchers, Bills maintained
- iv. Others to be specified

**Signature of the Internal Auditor**

.....

**Official use**

**Verification report**

(a) The status of the IAI report (Upto the quarter \_\_\_\_\_) is verified and found correct as stated below:

Mile stone	Achievement
2 <sup>nd</sup> Milestone (Upon capacity building of actual number of staffs of estimated participating Industries)	
3 <sup>rd</sup> Milestone (Upon actual numbers of trainees with whom apprenticeship contracts have been signed )	
4 <sup>th</sup> Milestone (Upon submission of end of project report and any unclaimed amount for milestone 2 and 3)	

(b) The Industry cluster is eligible\* for disbursement of fund against

(\*Strike-off whichever is not applicable)

- 2<sup>nd</sup> Milestone (Upon capacity building of actual number of staffs of estimated participating Industries)
- 3<sup>rd</sup> Milestone (Upon actual numbers of trainees with whom apprenticeship contracts have been signed)
- 4<sup>TH</sup> Milestone (Upon submission of end of project report and any unclaimed amount for milestone 2 and 3)

(c) It is recommended for release of INR \_\_\_\_\_ (Rupees \_\_\_\_\_  
\_\_\_\_\_ Only) to the Industry cluster against 2<sup>nd</sup>/ 3<sup>rd</sup>/ 4<sup>th</sup> Milestone

**State Apprenticeship Advisor**

**State**

## Annexure 21: Proposed activities in Result Area 3

Result area 3 covers variety of activities improving the teaching and learning methodology and resources and complementing the institutional reforms in vocational training under DGT. The key activities planned include:

- i. Improved curricula, teaching and learning materials
- ii. Capacity Building Program (including trainings on NSQF), introduction of Continuous Professional Development and other activities for Trainers
- iii. Setting up of infrastructure for distance learning program
- iv. Upgradation of CTS and CITS trades and roll them out
- v. Upgradation of CFIs for Instructor Courses and Advanced Skills
- vi. Reforms including examination reforms
- vii. Implementation of communication strategy
- viii. Soft Loan to Private ITI
- ix. Other activities for improving teaching & learning

Funds will be allocated to the above mentioned activities and sub-activities supporting these activities.

Annexure 22: Format of Asset Register

Asset Description	Asset No.	Location of Asset	Particulars of assets	Capacity / Brief Description of assets	Make	Model No.	Date of Purchase	Invoice No.	Name of Supplier/ Contractor	Value/ Amount	Depreciation March 31, 20--	Deduction /Sold	Closing Balance (N=K-L-M)
(A)	(B)	(C)	(D)	(E)	(F)	(G)	(H)	(I)	(J)	(K)	(L)	(M)	(N)
<b><u>CIVIL WORKS</u></b>													
<b><u>EQUIPMENT FOR ITs / ICs</u></b>													
<b><u>COMPUTERS / PRINTERS</u></b>													
Desktop													
Laptop													
Inkjet Printer													



Modem / Router													
<b><u>SOFTWARE</u></b>													
Windows 7													
MS Office													
<b><u>FURNITURES AND FIXTURES</u></b>													
Chair													
Table													
<b>Total</b>													

**Note:** This format is recommended by NPIU, however individual Beneficiaries already maintaining Asset Register with a differing format may continue to follow the same. If Beneficiary Format does not provide the details as provided in the above Register, such Beneficiaries could either amend their format or follow the prescribed format as above.

## Annexure 23: Imprest Management for Result Area 1 and Result Areas 4

As a general principle, ITI/IC shall make all payments as bank transfers from the Project Account. However, as an exceptional and interim measure the project allows the provision of imprest to the ITI/IC to pay in cash against expenditure as per Table below

S. No	Institution/Result Area	Authority	Financial Powers
1	Industrial Training Institutes under Result Area 1	Principal of Institute	Maximum Rs 10,000 per month
2	Industry Cluster Under Result Area 4	Member Secretary of the IC	Maximum INR 40,000 per month for IC with a maximum of Rs 10,000 on each case and person

The imprest transfer will be treated as an advance till the final booking of expenditure. Second imprest to the same person(s) would only be provided subject to the settlement of the first advance. Imprest expenditure will be used only for Eligible Expenditure under this Operations Manual.

**Interim Unaudited Financial Report (Format 1) Report for the period from ..... to .....**

**Overall Expenditure Summary under Technical Assistance (Amount in INR' 00,000)**

<b>Category No</b>	<b>Category Description</b>	<b>Total eligible expenditure for the project</b>	<b>Total amount claimed till beginning of the period</b>	<b>Expenditure in current period</b>	<b>Balance to be Claimed</b>
<b>(a)</b>	<b>(b)</b>	<b>(c)</b>	<b>(d)</b>	<b>(e)</b>	<b>(f)= (c)-(d)-(e)</b>
<b>1</b>	<b>Technical assistance at National Level and monitoring support</b>				
<b>2</b>	<b>Gender Study</b>				
<b>3</b>	<b>Studies and innovative pilots</b>				
<b>4</b>	<b>Independent Verification Agency</b>				
<b>5</b>					
<b>6</b>					

**Interim Unaudited Financial Report (Format 2) Report for the period from ..... to .....**

**Sources and Applications of Funds (Amount in Rs Lakhs)**

S. No.	Components	For the Quarter	Year till date	Project till date
		Name of Unit	Name of Unit	Name of Unit
1	2	3	4	5
	(I) SOURCES OF FUNDS			
	Opening Bank Balance			
	Receipts during the period			
	Budgetary Grants			
	Less: Transfer/ redistribution of Grants			
	<b>Sub Total of Grants</b>	0.00	0.00	0.00
	<b>Total Sources of Funds... .. (I)</b>	0.00	0.00	0.00

**Interim Unaudited Financial Report (Format 2) Report for the period from ..... to .....**

**Sources and Applications of Funds (Amount in Rs Lakhs)**

S. No.	Components	For the Quarter	Year till date	Project till date
		Name of Unit	Name of Unit	Name of Unit
1	2	3	4	5
	<b>(II) APPLICATIONS OF FUNDS</b>			
	<b>Sub Total Component A... ..(IIA)</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>

**GFR 12 – C**

[(See Rule 239)]

**FORM OF UTILIZATION CERTIFICATE (FOR STATE GOVERNMENTS)  
(Where expenditure incurred by Govt. bodies only)**

S. No.	Letter No. and date	Amount	Certified that out of Rs. _____ of grants sanctioned during the year _____ in favor of _____ Under this Ministry/Department Letter No. given in the margin and Rs. _____ on account of unspent balance of the previous year, a sum of Rs. _____ has been utilized for the purpose of _____ for which it was sanctioned and that the balance of Rs. _____ remaining unutilized at the end of the year has been surrendered to Government (vide No _____ dated _____) /will be adjusted towards the grants-in-aid payable during the next year _____.	
	Total			

2. Certified that I have satisfied myself that the conditions on which the grants-in-aid was sanctioned have been duly fulfilled/ are being fulfilled and that I have exercised the following checks to see that the money was actually utilized for the propose for which it was sanctioned.

Kinds of checks exercised

- 1.
- 2.
- 3.
- 4.
- 5.

Signature.....

Designation.....

Date.....

**PS:** The UC shall disclose separately the actual expenditure incurred and loans and advances given to suppliers of stores and assets, to construction agencies and like in accordance with scheme guidelines and in furtherance to the scheme objectives, which do not constitute expenditure at the stage. These shall be treated as utilized grants but allowed to be carried forward.

The scheme objectives, which do not constitute expenditure at the stage. These shall be treated as utilized grants but allowed to be carried forward.

Annexure 25B: Utilization Certificate (for Autonomous bodies)

GFR 12 – A

[(See Rule 238 (1)]

FORM OF UTILIZATION CERTIFICATE  
FOR AUTONOMOUS BODIES OF THE GRANTEE ORGANIZATION

UTILIZATION CERTIFICATE FOR THE YEAR..... in respect of  
recurring/non-recurring

GRANTS-IN-AID/SALARIES/CREATION OF CAPITAL ASSETS

1. Name of the Scheme.....
2. Whether recurring or non-recurring grants.....
3. Grants position at the beginning of the Financial year
  - (i) Cash in Hand/Bank
  - (ii) Unadjusted advances
  - (iii) Total
4. Details of grants received, expenditure incurred and closing balances: (Actuals)

Unspent balances of Grants received years [figure as at Sl. No. 3 (iii)]	Interest Earned thereon	Interest deposited back to the Government	Grant received during the year			Total Available funds (1+2 - 3+4)	Expenditure incurred	Closing Balances (5-6)
			Sanction No. (i)	Date (ii)	Amount (iii)			
1	2	3	4			5	6	7

Component-wise utilization of funds

Grant-in-aid- General	Grant-in-aid- Salary	Grant-in-aid- Creation of capital assets	Total

Details of grants position at the end of the year

- (i) Cash in Hand/Bank
- (ii) Unadjusted Advances
- (iii) Total

Certified that I have satisfied myself that the conditions on which grants were sanctioned have been duly fulfilled/are being fulfilled and that I have exercised following checks to see that the money has been actually utilized for the purpose for which it was sanctioned:

- (i) The main accounts and other subsidiary accounts and registers (including assets registers) are maintained as prescribed in the relevant Act/Rules/Standing instructions (mention the Act/Rules) and have been duly audited by designated auditors. The figures depicted above tally with the audited figures mentioned in financial statements/accounts.
- (ii) There exist internal controls for safeguarding public funds/assets, watching outcomes and achievements of physical targets against the financial inputs, ensuring quality in asset creation etc. & the periodic evaluation of internal controls is exercised to ensure their effectiveness.
- (iii) To the best of our knowledge and belief, no transactions have been entered that are in violation of relevant Act/Rules/standing instructions and scheme guidelines.
- (iv) The responsibilities among the key functionaries for execution of the scheme have been assigned in clear terms and are not general in nature.
- (v) The benefits were extended to the intended beneficiaries and only such areas/districts were covered where the scheme was intended to operate.
- (vi) The expenditure on various components of the scheme was in the proportions authorized as per the scheme guidelines and terms and conditions of the grants-in-aid.
- (vii) It has been ensured that the physical and financial performance under..... (Name of the scheme has been according to the requirements, as prescribed in the guidelines issued by Govt. of India and the performance/targets achieved statement for the year to which the utilization of the fund resulted in outcomes given at Annexure – I duly enclosed.
- (viii) The utilization of the fund resulted in outcomes given at Annexure – II duly enclosed (to be formulated by the Ministry/Department concerned as per their requirements/specifications.)
- (ix) Details of various schemes executed by the agency through grants-in-aid received from the same Ministry or from other Ministries is enclosed at Annexure –II (to be formulated by the Ministry/Department concerned as per their requirements/specifications).

Date:

Place:

Signature

Signature

Name.....

Name.....

Chief Finance Officer

Head of the Organization

(Head of the Finance)

(Strike out inapplicable terms)



Annexure 26: Statement in lieu of Balance Sheet at Beneficiary Level

Report for the year ended March 31, \_\_\_\_\_

Beneficiary Name & code

	Statements in lieu of Balance Sheet	Amount in Rs '000
		As of March 31, 201_
1	<b>Accumulated Fund of the Project</b>	
	Book balance reconciled with Bank Account	
2	<b>Category-wise assets by Beneficiary</b>	
	Equipment	
	Machinery	
3	<b>Unpaid Bills / Liabilities</b>	
	Unpaid Bills	
	Other Liabilities	

## Annexure 27: Protocol for Assets Purchased/Developed out of Grant Funds by ITI and ICs

### **For ITIs**

Assets purchased under the Project shall be classified under asset block as specified by the Income Tax Act, 2018 and amended from time to time. ITIs shall be permitted to purchase or develop only those assets which are required to be purchased/developed for undertaking activities outlined in the ISP, or other potential activities in the reform areas specified under section C of this manual.

The assets created/purchased out of the funds by ITIs under this Project should be recorded and accounted separately. This needs to be verified during internal audit which needs to be done after a gap of every 6 months (twice a year). SPIU has the right to undertake physical verification of assets purchased/created out of the funds under the Project, as reported by ITIs, as and when required and ITI/IMC shall provide all required support to the representatives of SPIU in this regard. Assets purchased/created out of the funds under this Project shall have to be disposed as per the rules and procedures prescribed under GFR 2017 and as amended from time to time.

### **In the case of Private ITIs, following additional provisions shall be applicable:**

Any assets created/purchased out funds under this Project shall be the property of the Government of India during the Project implementation period. After completion of the Project, the assets created/purchased out of the funds under this Project shall be retained by the Private ITI, provided it meets at least 50% of its KPI targets, as reflected by the disbursements made. Where the ITI fails to meet 50% of the targets, the assets shall be returned to the Government of India. The disposal of assets, during Project implementation period and till ten years after the project implementation period, shall require prior approval of SPIU.

In case of liquidation of a Private ITI during a particular year within the Project period without achieving the target for that year, the assets (other than immovable assets) created out of the Project funds during the period between the last year for which target has been achieved and the year in which liquidation is taking place, shall be transferred back to SPIU. The immovable assets created out of the funds need to be valued separately and to be certified by the Annual Auditor appointed as per the provision under section I of this manual and equivalent amount shall be transferred back to the SPIU. Also any unutilized project funds (corresponding to the funds released by SPIU) as on the date of liquidation shall also be returned to the SPIU. In such cases, the SPIU shall either transfer such amount back to the NPIU, or get it adjusted for other ITIs. The provisions of Closure of Project as mentioned under section J below will be applicable in case of liquidation of Private ITI.

In case of change of ownership of Private ITI, an intimation along with legal papers denoting the change of ownership need to be submitted to SPIU and the new owner should comply with the PBGA signed unconditionally. In case of non-compliance, the PBGA shall be terminated and the treatment of assets created out of the Scheme funds shall be same as in case of liquidation mentioned under (ii) above.

### **For State Societies**

For Result Area 2, the SPIU is permitted to purchase or develop only those assets which are required to be purchased/developed for undertaking activities for achieving the KPI targets and to undertake other activities that fall within the eligible expenditures under this Project.

### **For ICs**

Assets purchased under the project shall be classified under asset block as specified by the Income Tax Act, 1961 that which may be amended from time to time. Industry Cluster shall be permitted to purchase or develop only those assets which are required to be purchased/developed for undertaking activities to achieve the milestones mentioned in section I above and related stages of activities pertaining to apprenticeship training

- a) Any assets created/purchased with funds under the IAI Grant Mechanism shall be the property of the Government of India during the project implementation period. For the disposal of such assets, during project implementation period shall require prior approval of the NPIU. For this purpose IC will place a request to NPIU which in turn will request State Government concerned to form a joint committee involving State and RDAT. Based on the recommendation of the joint committee the NPIU may accord their approval. However, after completion of the project, the assets created/purchased out of the funds under IAI Grant Mechanism shall be retained by the Industry Cluster.
- b) The assets created/purchased out of the funds by Industry Clusters under this IAI Grant Mechanism should be recorded and accounted separately. Grant Funds should be recorded in separate books of accounts. Therefore assets created out of Grant Funds should be recorded in Asset Register within the same Grant Funds Books of Accounts.
- c) Each asset must be physically marked with a number, wherein such number must be recorded along with the Asset Location in the Asset Register.
- d) In the Internal Audit the Asset Register must be verified against the Physical asset
- e) This needs to be verified during internal audit (Refer ***Scope of Internal Audit specific to Result Area 4 under Section 4.1.3.4***). The State Apprenticeship Monitoring Cell has the right to undertake, as and when required, physical verification of assets purchased/created out of the funds under the IAI Grant Mechanism, as reported by Industry Clusters and Industry Cluster shall provide all required support to the representatives of State Apprenticeship Monitoring Cell in this regard.
- f) In case of liquidation of an Industry Cluster within the project implementation period, the assets (other than immovable assets) created out of the project funds during the period between the achieved milestone and the date on which liquidation is taking place, shall be transferred to the NPIU. The immovable assets created out of the project funds need to be valued separately and to be certified by the Auditor (as defined under section VII of this manual) and the amount shall be transferred back to the NPIU, only after the sale or transfer of such immovable assets by IC. Standard operating procedure to be followed in consultation with State Government/Central Government may be adopted. Also any unutilized funds as on the date of liquidation shall also be returned to the NPIU. The

provisions of Closure of IAI Grant as mentioned under section VIII below will be applicable in case of liquidation of Industry Cluster.

In case of change of ownership of Industry Cluster within the project implementation period, an intimation along with the legal papers denoting the change of ownership need to be submitted to State Apprenticeship Monitoring Cell and NPIU and the new owner(s) of Industry Cluster should comply with the grant agreement signed, unconditionally in writing through a legal document on Stamp Paper duly notarized. In case of non-compliance, the grant agreement shall be terminated and the treatment of assets created out of the project funds shall be same as in case of liquidation mentioned under (c) above.

Annexure 28: Quarterly Statement of Expenditure (SoE) consolidated at NPIU

Report for the quarter ended on \_\_\_\_\_

(Amount in Rs '000)

Particulars		For the Quarter	Cumulative	
			Year till date	Project till date
<b>Sources</b>				
	Government of India Funds			
<i>Total Sources (A)</i>				
Expenditure by Component				
<b><u>Result Area 1: Improved Performance of ITI</u></b>				
-	Grading of ITI			
-	Performance-based funding to ITIs			
<b><u>Result Area 2: Increased capacities of state governments to support ITI &amp; apprenticeship</u></b>				
-	Incentive for signing PGBA			
-	Incentive for conducting tracer studies			
-	Incentive for reduction in vacancy of ITI trainers			
-	Incentive for data reporting on MIS System			
-	Incentive for implementing examination reforms and centralized admission process			
-	Incentive for developing career progression policy for ITI trainers and conducting refreshers training for ITI teachers in Industry			
-	Incentive for establishing equivalence of ITI certificate with State Board certificate: developing policy to encourage dual training and for the constitution of IMC ( or equivalent)			
<b><u>Result Area 3: Improved Teaching &amp; Learning</u></b>				

Particulars		For the Quarter	Cumulative	
			Year till date	Project till date
-	Improved curricula, teaching and learning materials by CSTARI & NIMI			
-	Setting up of Space/ Satellite based learning program by NIMI Chennai, Cost of Infrastructure			
	Capacity Building Program, introduction of Continuous Professional Development (CPD) - technology based teaching and learning material for CITS program and cost of training of trainers			
-	Upgradation of CFIs for Instructor Courses and Advanced Skills			
-	Reforms including examination reforms			
-	Support to CSTARI for NSQF Compliance of CTS trades			
-	Implementation of communication strategy			
-	Soft Loan to Private ITI			
<b><u>Result Area 4: Improved and broadened Apprenticeship Training</u></b>				
-	Support the strengthening of modern apprenticeship training through industrial clusters - New Program Development/ Existing Program/Implementing Cost			
-	Research and awareness creation			
-	Capacity development of key actors in Govt. and Private Sector			
-	Strengthening of Apprenticeship Cell in States/UTs			
<b>Activities under Technical Support</b>				
	Technical support at National Level and monitoring support			
	Technical support at State Level and monitoring support (Cost of SPIU Consultants to be met out of funds under Result Area 3)			

Particulars		For the Quarter	Cumulative	
			Year till date	Project till date
	Studies and innovative pilots			
<b>Total Expenditure (B)</b>				
<b>Advances to Suppliers / Others</b>				
	Advances for Equipment			
	Other Advances			
<b>Total Advances (C)</b>				
	Less: Recovery: Adjustment of Advances (D)			
<b>Net Advances (E= C-D)</b>				
<b>Total USES OF FUNDS (F=B+E)</b>				

This format would be followed at the SPIU level wherein only the relevant Result Areas would be filled out i.e., details for Result Area 3 as stated above needs to be ignored.

Annexure 29: Format for Closure Utilization Certificate

Certified that out of Rs. .... of grants-in-aid sanctioned during the year ..... in favor of ..... under this Ministry/Department Letter No. .... dated ..... and Rs..... on account of unspent balance of the previous year, a sum of Rs. .... has been utilized for the purpose of ....., for which it was sanctioned and that the balance of Rs..... remaining unutilized at the end of the year has been surrendered to DGT (*vide* No....., dated .....

Certified that I have satisfied myself that the conditions on which the grants-in-aid was sanctioned have been duly fulfilled and that I have exercised the following checks to see that the money was actually utilized for the purpose for which it was sanctioned.

Kinds of checks exercised

- 1.
- 2.
- 3.

Signature of Authorized Signatory

Designation:

Date:



Annexure 30: Consolidated Procurement Plan of IC for entire project (year-wise)

**Name and address of IC**

--

**Names of Apprenticeship training programs along with estimated number of apprentices under the aforesaid period.**

--

Head of expenditure (INR '000)	Year 1	Year 2	Year 3
<b>Capital expenditure :</b>			
1. Machinery and equipment			
2. Furniture and fixtures			
3. Repair and maintenance			
4. Others.....			
<b>Sub-total (A)</b>			
<b>Development and preparation of the training program:</b>			
5. Costs of needs assessment			
6. Cost of curriculum development			
7. Development/procurement of teaching and learning materials			
8. Training of company supervisors			
9. Training of trainers in basic training provider			
10. Others.....			
<b>Sub-total (B)</b>			
<b>Apprenticeship Training costs:</b>			
11. Tools			

Head of expenditure (INR '000)	Year 1	Year 2	Year 3
12. Raw materials			
13. Protective equipment			
14. Assessment and certification costs			
15. Training fee charged by basic training provider			
16. Others.....			
<b>Sub-total (C)</b>			
<b>Incremental Operating costs:</b>			
17. Transport for apprentices			
18. Insurance for apprentices			
19. Salary/fee and other costs for apprenticeship coordination			
20. Others.....			
<b>Sub-total (C)</b>			
<b>Total (A + B + C)</b>			

Annexure 31: Financial Powers of Competent Authorities and Procurement Methods to be followed in Respect of Private ITI

S. No.	Expenditure Category	Value (Threshold)	Procurement Method	Competent Authority	Remarks
1.	Goods: Equipment, Machines Materials, Hand Tools, Measuring Equipment, Furniture, Books, Periodicals, Proprietary Software Learning Resources and Educational Materials	Upto INR 1,00,000 per contract	An appropriate procurement method to be adopted based on “Canons of Financial Propriety” <sup>28</sup> OR relaxation in State specific procurement procedure/guidelines may be given by the respective SPIU/State Government	Principal of ITI	Subject to delegation of Administrative/ Financial powers to the Principal of selected PBG Pvt. ITI under STRIVE to carry out procurement activities.  This shall be carried out through the Principal in accordance with the approved procurement plan without inviting quotation or bids. “A certificate of quality and prices to be recorded by Principal“
2.	Goods: Equipment, Machines Materials, Hand Tools Measuring Equipment Books, Periodicals, Proprietary Software Learning Resources and Educational Materials Furniture	Above INR 1,00,000 and Up to INR10,00,000 per contract		GWPC of IMC ( or equivalent)	Subject to delegation of Administrative/ Financial powers to the GWPC of Institute in accordance with the approved procurement plan.
3.	Goods: Equipment, Machines Materials, Hand Tools Measuring equipment	Above INR 10,00,000 upto INR 25,00,000 per contract		Under the administrative/ financial approval of	Subject to delegation of Administrative/ Financial powers to the Governing Council of IMC of the Institute.

<sup>28</sup> Please refer <http://www.iritm.indianrailways.gov.in/uploads/files/1360312162004-01.CANONS%20OF%20FINANCIAL%20PROPRIETY.pdf>

S. No.	Expenditure Category	Value (Threshold)	Procurement Method	Competent Authority	Remarks
	Books,periodicals,Proprietary Software Learning Resources and Educational Materials Furniture			Governing Council of IMC ( or equivalent)	
4.	Incremental Operating Cost Office expenses Maintenance of equipment,vehicles and buildings,hiring of vehicles and offices and consumables Expenses towards Students OJT	Upto 15% of Total allocation under PBG		GWPC of IMC ( or equivalent)	Subject to delegation of Administrative/ Financial powers to the GWPC of Institute

**Note:**

1. Selected Pvt. ITI shall prepare a consolidated procurement plan and ISP (Annexure 7) in the form of packages for the entire duration of project within the prescribed limits of each type of expenditure.
2. Each procurement package must bear a distinct number.
3. Procurement Plan shall be approved by the IMC( or equivalent) of the institute and submitted to NPIU and only the duly approved procurement plan is to be implemented by the Pvt. ITI.
4. All kinds of Machinery/Equipment being procured under the STRIVE project must be covered under the Guarantee/Warranty clauses as provided by the Original Equipment Manufacturers(s) (OEM)/Manufacturers and further the total cost of the item must be inclusive of providing 5 years on site Annual Maintenance Contract
5. Similarly all kinds of System Software, LRs and Simulation Software being procured must have an in built provision that these are upgradable to all future versions free of cost and purchaser/tenderer will be provided with the latest version(s) as and when such new versions are released by the OEMs through the supplier without incurring any additional cost to the Purchaser. Hence, this clause may be specifically inserted in the bid/tender document and supply order, non-compliance on the part of supplier shall result into forfeiture of earnest money

Annexure 32: Financial Powers of Competent Authorities and Procurement Methods to be followed in respect of Selected Govt. ITI

S. No.	Expenditure Category	Value (Threshold)	Procurement Method	Competent Authority/ Project Institution	Remarks
1.	Goods: Equipment, Machines Materials, Hand Tools, Measuring equipment, Books, Periodicals, Proprietary Software Learning Resources and Educational Materials Furniture	Up to INR.1,00,000 per contract	Shopping mode including issue of supply orders to Central/State Govt/Departments empanelled suppliers/contractors	Principal of selected PBG Govt. ITI	Subject to delegation of Administrative/ Financial powers to the Principal of selected PBG Govt. ITI under STRIVE to carry out procurement activities under the shopping mode.  This shall be carried out through the Principal without inviting quotation or bids in accordance with the approved procurement plan . “A certificate of quality and prices to be recorded by Principal“
2.	Goods: Equipment, Machines Materials, Hand Tools Measuring equipment Books, periodicals, Proprietary Software Learning Resources and Educational Materials Furniture	Above INR 1,00,000 and Upto INR 10,00,000 on each occasion	National Competitive Bidding (NCB) including issue of supply orders to Central/ State Govt/Departments empanelled suppliers/contractors.  This shall be carried out under the compliance of e.tendering process through e.procurement portal.	GWPC of selected PBG Govt. ITI.	Subject to delegation of Administrative/ Financial powers to the GWPC of Institute in accordance with the approved procurement plan.
3.	Goods: Equipment, Machines Materials, Hand Tools	Above INR 10,00,000 upto INR		Through the GWPC under the	Subject to delegation of Administrative/ Financial powers to the

	Measuring equipment Books, periodicals, Proprietary Software Learning Resources and Educational Materials Furniture	25,00,000 per contract		Administrative/Financial approval of Governing Council of IMC( or equivalent) of selected PBG Govt. ITI.	Governing Council of IMC( or equivalent) of the Institute and in accordance with the approved procurement plan.
4.	Incremental Operating Cost Office expenses Maintenance of equipment, vehicles and buildings, hiring of vehicles and offices and consumables Expenses towards Students OJT	Upto 15% of Total allocation under PBG	Direct Contracting/Shopping	GWPC of Govt. ITI	Subject to delegation of Administrative/ Financial powers to the GWPC of Institute

**Note:**

1. NSelected Govt. ITI shall prepare a consolidated procurement plan and ISP (Annexure 7) in the form of packages for the entire duration of project within the prescribed limits of each type of expenditure.
2. Each procurement package must bear a distinct number.
3. Procurement Plan shall be approved by the IMC( or equivalent) of the institute and submitted to SPIU and only the duly approved procurement plan is to be implemented by the Govt. ITI under the mandatory compliances of all codal formalities laid down under the procurement guidelines.
4. Online procurement method of Government-e- Market Place may also be considered for procurement.
5. All kinds of Machinery/Equipment being procured under the STRIVE project must be covered under the Guarantee/Warranty clauses as provided by the OEM(s)/Manufacturers and further the total cost of the item must be inclusive of providing 5 years on site Annual Maintenance Contract

Similarly all kinds of System Software, LRs and Simulation Software being procured must have an in built provision that these are upgradable to all future versions free of cost and purchaser/tenderer will be provided with the latest version(s) as and when such new versions are released by the OEMs through the supplier without incurring any additional cost to the Purchaser. Hence, this clause may be specifically inserted in the bid/tender document and supply order, non-compliance on the part of supplier shall result into forfeiture of earnest money

Annexure 33: Procurement of Goods, works including minor civil works and Services (consulting and non-consulting) for IC

For carrying out procurement activities, IC shall comply with “**Canons of Financial Propriety**” as outlined in Section 4.2.5

**Financial Powers of Competent Authorities of ICs and suggestive procurement method.**

Expenditure category	Value (Threshold) per contract	Procurement method
<b>Procurement of Minor Civil Works in accordance with the approved procurement plan</b>		
<b>Civil/Electrical Works</b>	Up to INR 5,00,000	<b>Three quotation method:</b> Under this method, the GWPC shall invite bids/quotations from three eligible suppliers. Copies of the bidding document may be sent directly by speed post/registered post/courier/ email to these suppliers.
<b>Procurement of Goods in accordance with the approved procurement plan</b>		
Procurement of Goods including Machinery/ Equipment required at BTP set up by IC, Learning Resources, software, Tool kits and safety gears for apprentices. Office equipment and consumables required at AIC	Up to INR 1,00,000	<b>Purchase of Goods without quotation:</b> Under this method, the goods shall be procured by an authorized officer/Treasurer of IC-GWPC without inviting quotation/bids. For such procurement, a certificate is to be recorded by the Chairperson of the GWPC on behalf of the Industry Cluster in the following format:  “I am personally satisfied that these goods purchased are of the requisite quality and specifications and have been purchased from a reliable supplier at a reasonable price.”
	Above INR 1,00,000 and up to INR 5,00,000	<b>Purchase of Goods by a Goods and Works Procurement Committee:</b> Under this method, the procurement of goods will be made on the recommendations of a duly constituted GWPC of IC as stated in Section 4.2.4 consisting of at least three members as decided by GC of the Industry Cluster. The committee will survey the market to ascertain the reasonableness of rate, quality and specifications and identify the appropriate supplier and recommend placement of the purchase order. The members of the committee will jointly record a certificate as under:

Expenditure category	Value (Threshold) per contract	Procurement method
		<p>“Certified that we, members of the purchase committee are jointly and individually satisfied that the goods recommended for purchase are of the requisite specification and quality, priced at the prevailing market rate and the supplier recommended is reliable and competent to supply the goods in question,”</p>
	<p>Above INR 5,00,000 and up to INR 10,00,000</p>	<p><b>Limited Tender Enquiry:</b> Under this method, bids are invited from the eligible suppliers. Copies of the bidding document should be sent directly by speed post/registered post/courier/ email to these suppliers. The number of supplier firms in Limited Tender Enquiry should be more than three preferably five.</p>
<p><b>Procurement of Services</b></p>	<p>Up to 5% of the total allocation</p>	<p><b>Three quotation method:</b> Under this method, the GWPC shall invite bids/quotations from three eligible suppliers. Copies of the bidding document may be sent directly by speed post/registered post/courier/ email to these suppliers.</p>



Annexure 34: Organization of IC, Composition of Goods and Works Procurement Committee for IC and Preparation of Procurement Plan

**(A) Organization of IC**

1. Governing Committee (GC) of IC
2. Goods and Works Procurement Committee (GWPC) of IC
3. Apprenticeship Implementation Cell (AIC) of IC

The above authorities of IC shall be delegated with Administrative and financial powers by the respective State Governments to manage and utilize the IAI grant under STRIVE. It may be mentioned here on the very outset that it is for the first time that IC of SMEs (eligible Private entities registered as a ‘Society’ under the Society Registration Act/Trust/Non-profit Company under the relevant section of Companies Registration Act) are being funded to improve and broaden the apprenticeship training programs in India. **The selected Industry Cluster (IC)** shall be responsible for day to day management of affairs and safety of apprentices undergoing Apprenticeship Training of fixed duration in designated/optional trades at Basic Training Providers Premises to be set up by IC or outsourced to a Third Party for the purpose of mandatory basic training and On the job Training (OJT) at the work place premises of Member Industry Organizations (Employer).

The IC shall carry out need based procurement of goods/works/services for achievement of KPIs and DLIS through effective utilization of IAI grant.

**(B) Goods and Works Procurement Committee for IC**

The Industry Cluster will have to constitute a Goods and Works Procurement Committee (GWPC) with the following composition before signing of Tripartite Agreement (MoU).

**Composition:**

- i. Chairperson /Vice Chairperson of the Governing Committee of IC-----Chairperson
- ii. Member Secretary of Governing Committee of IC -----1 Member
- iii. Treasurer of IC-----1 Member
- iv. Representatives of Business member organizations who are not part of Governing Council of IC---4 Members

It must contain the names, addresses and mobile numbers of all members and be intimated to State Apprenticeship Monitoring Cell (SAMC) as well as to all industry members who are on-board. It is expected that an IC shall have sufficient number of Business Member Organizations on board who have explicitly agreed to provide apprenticeship training to apprentices being routed through IC-IAI.

The GWPC shall carry out all types of procurement activities required for the above purpose by following the procurement procedures as mentioned below.

The GC, GWPC and AIC of IC shall have the responsibility and accountability to bring efficiency, economy, and transparency in matters relating to procurement and for fair and equitable treatment of suppliers and promotion of competition in procurement. While carrying out the procurement of Goods, Works and Services, the following points may be kept in view:

- i. The description of the goods to be procured should be objective and generic and should not indicate a requirement, for a particular trade mark, trade name or brand
- ii. The specifications in terms of quality, type etc., and quantity of goods to be procured, should be clearly spelt out keeping in view the specific needs of the Industry Cluster Organizations. The specifications so worked out should meet the basic needs of the ICs without including superfluous and non-essential features, which may result in unwarranted expenditure.
- iii. Care should be taken to avoid purchasing quantities in excess of requirement to avoid inventory carrying costs
- iv. Offers should be invited following a fair, transparent and open competition
- v. The Goods and Works Procurement Committee should be satisfied that the selected offer adequately meets the requirement in all respects. The IC should satisfy itself that the price of the selected offer is reasonable and consistent with the quality required. At each stage of procurement the Works and Procurement Committee of IC must place on record, in precise terms, the considerations which weighed with it while taking the procurement decision.

**(C) Preparation of Procurement plan for IC**

The selected IC shall prepare a procurement plan duly approved by Governing committee of Industry Cluster as per template depicted at Annexure 30 and will be submitted to SAMC/NPIU along with IAI proposal. Once the IAI proposal along with procurement plan is approved by SAMC/NPIU it must be disclosed on websites of IC, SPIU and NPIU. All the procurement activities shall be carried out at the level of IC Procurement plan covering minor civil works/refurbishment such as partitioning, class room fixtures, plumbing and electrical fixtures etc. can be undertaken by ICs towards establishment of Basic Training Provider (BTP) by ICs under apprenticeship training program with an upper limit permissible to the extent of INR 5, 00,000 only during the entire project period.

The selected ICs shall be empowered to procure up to the limits as specified in this Operations Manual. A duly approved procurement plan by the GC of IC containing the details of requirements including cost of goods and services for each IC will be submitted to SAMC/NPIU along with IAI plan and will vary from proposal to proposal for each IC depending on the size of IC and as per their needs. All Procurement packages of any will be processed/procured at respective selected IC level with due diligence under the administrative/financial approval of Treasurer, GWPC and GC of IC depending on the thresholds (value).

Annexure 35: Baseline Data Formats for Instructors Vacancy- ITIs

Responsibility for data Collection: SPIU

Frequency of Data Collection: Before Project Implementation

Data Source: State, UT, SPIU

(As on 30/06/2018)

Name of the State:												
Sl. No.	MIS Code of the Govt. ITI	Name of the Govt. ITI	Number of NCVT affiliated Trades			Number of NCVT affiliated Units	Total Sanctioned Post of Instructors in Govt. ITIs	Total No. of positions filled by Regular Instructors	Total No. of positions filled by Contract Instructor against sanctioned posts (Hired for at least for 6 months)	Total No. of positions filled by Guest Instructor / Faculty against sanctioned posts (Hired for at least for 6 months)	Total Positions filled (9+10+11)	Current Vacancy (8 - 12)
			Engineering	Non-Engineering	Total (4+5)							
1	2	3	4	5	6	7	8	9	10	11	12	13
1												
2												
3												
4												
5												
6												
7												
8												

Annexure 36: Baseline Data Formats for Instructors Vacancy- States

**Responsibility for data Collection:** NPIU

**Frequency of Data Collection:** Before Project Implementation

**Data Source:** State, UT, SPIU

(As on 30/06/2018)

Sl. No	Description	Response
1	Name of the State	
2	Total No. of Govt. ITIs in the State	
3	Total Number of Trades in All Govt. ITI (a+b)	
	a. Number of Engineering Trades	
	b. Number of Non-Engineering Trades	
4	Total Sanctioned Post of Instructors in Govt. ITIs	
5	Total No. of positions filled by Regular Instructors	
6	Total No. of positions filled by Contract Instructor against sanctioned posts (Hired for at least for 6 months)	
7	Total No. of positions filled by Guest Instructor / Faculty against sanctioned posts (Hired for at least for 6 months)	
8	Total Positions filled (5+6+7)	
9	Current Vacancy (4 - 8)	

Annexure 37: Template for Results Area # 1: Improved Performance of Industrial Training Institutes

**Responsibility for data Collection:** SPIU

**Frequency of Data Collection:** Quarterly

**Data Source:** Project ITIs and Data should only include trainees of CTS trade or any other NSQF compliant trade offered in the ITI with a minimum duration of 300 hours.

S. No	Description	Response			
1	<b>ITI Details</b>				
	a) Name of the ITI				
	b) MIS Code of the ITI (for Govt. ITI)				
2	<b>Please give details of total enrolment in the ITI (during the quarter)</b>				
		<b>Men</b>	<b>Women</b>	<b>Total</b>	<b>Remarks</b>
	<b>SC</b>				
	<b>ST</b>				
	<b>OBC</b>				
	<b>GEN</b>				
	<b>Total</b>				
3	<b>Number of new trades/ courses introduced (during the quarter)</b>	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	≥ 4 <input type="checkbox"/>
5	<b>Mention new trades/ courses introduced during quarter and their duration</b>				
6	<b>Examination and Assessment (during the quarter)</b>	<b>Men</b>	<b>Women</b>	<b>Total</b>	<b>Remarks</b>
	a) Total Number of Trainees Appeared in Examination				
	b) Total number of trainees Passed Out				
7	<b>Total number of trainees, who have undergone OJT as per the prescribed curriculum</b>	<b>Men</b>	<b>Women</b>	<b>Total</b>	<b>Remarks (Total enrolment)</b>

S. No	Description	Response			
	((during the quarter)				
	SC				
	ST				
	OBC				
	GEN				
	<b>Total</b>				
8	Whether employment promotion activities conducted (during the quarter)	Yes <input type="checkbox"/>	No <input type="checkbox"/>	If Response is Yes, then Check the following	
9	Number of Improved employment promotion activities undertaken	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	≥ 4 <input type="checkbox"/>
10	Number of graduates benefitted out of the employment promotion activities introduced.	<b>S. No</b>	<b>Activity</b>		<b>Graduates benefitted (in number)</b>
		1			
		2			
		3			
11	<b>Employment generated after completion of Training (in Number)</b>	<b>Men</b>	<b>Women</b>	<b>Total</b>	<b>Remarks</b>
	a) Wage Employment				
	b) Self employed				
	c) Apprenticeship				
	d) Higher Education				

Annexure 38: Template for Results Area # 2: Increased Capacities of the State Governments to Support Industrial Training Institutes and Apprenticeship Training

**Responsibility for data Collection:** SPIU

**Frequency of Data Collection:** Quarterly

**Data Source:** SPIU

S. No	Description	Response		Remarks
1	<b>Instructor Vacancy Related (in Number)</b>			
	a) Total Sanctioned Posts of Instructors			
	b) Total Filled in Posts-Regular Instructors			
	c) Total Filled in Posts-Contractual Instructors			
	d) Number of Guest Instructors			
	<b>e) Current Instructors Vacancy</b> (Total Sanctioned Post – Total Filled in Posts (Only Regular & Contractual))			
2	<b>Whether at least one Tracer Study Conducted in the State (in Number)</b>	Yes <input type="checkbox"/>	No <input type="checkbox"/>	
3	<b>What is the number of tracer studies conducted in the State</b>	1 <input type="checkbox"/>	≥ 2 <input type="checkbox"/>	Mention date and month of the same:
4	<b>Whether Career Progression policy launched and implemented in the state</b>	Yes <input type="checkbox"/>	No <input type="checkbox"/>	Mention date and month of the same:
5	<b>Finance</b>	<b>(Amount in INR)</b>		
	a) Budget			
	b) Fund Allocated			
	c) Fund Disbursed			
	d) Fund Utilized			
	e) Fund Un-utilized			

Annexure 39: Template for Result Areas # 4: Improved and Broadened Apprenticeship Training

**Responsibility for data Collection:** IC

**Frequency of Data Collection:** Quarterly (to be submitted to SAMC)

**A. Basic information of Industry Cluster**

S. N	Description	Response
1	i. Name of the IC	
	ii. Address	
	iii. Name of the contact person with contact details (Mobile, Email)	
2	Date of Tripartite Grant Agreement Signed	dd/mm/yyyy
3	Date of approval of IAI Proposal	dd/mm/yyyy

**B. Name of individual member of IC along with enrolment of apprentices**

4	Establishment Name and registration ID of the member of IC on the Apprenticeship Portal	Name of Apprenticeship Training Program/Trade	Apprentice contract signing date	Training Commencement Date	Training End Date	SC & ST	Persons with disability	Total (including all)	
								Male	Female
I.									
II.									
III.									



IV.										
V.										

(Note - Add additional rows for number of enterprises in the cluster)

**C. Name of individual member of IC along with Result of apprentices (in Number)**

5	Establishment Name and registration ID of the member of IC on the Apprenticeship Portal	Name of Apprenticeship Training Program/Trade (whether designated or Optional)	Target No of apprentices as per IAI plan		No of apprentices appear for trade test		No of Apprentices passing the trade test		No of apprentices placed within the same establishment/cluster		No of apprentices not placed	
			Male	Female	Male	Female	Male	Female	Male	Female	Men	Women
I.												
II.												
III.												
IV.												
V.												

(Note - Add additional rows for number of enterprises in the cluster)

**D. Detailed Information of Basic Training Providers (BTP)/Government ITI/Private ITI/Third Party Training Provider associated with IC**

6	Name, address, contact details of BTP	BTP registration ID	BTP affiliation (NSDC/RDAT)	BTP category (IC owned/Govt. ITI/Pvt ITI/NSDC Training centre/other (specify)	Name of Apprenticeship Training Program/Trade	No of Apprentices undergoing basic training	Date Commencement of Basic Training	End Date of Basic Training	Whether Basic Training Provider is availing NAPS benefits (Y/N)	Funds spent by IC on Basic Training
I.										
II.										
III.										
IV.										
V.										

Note – IC to submit copy of MoU with BTP;

**E. Capacity Development of IC shall include Training of Trainers working at BTP, Industry Supervisors, Managers, and Staff working at AIC of IC**

Activity (for 3 years)	Target as per IAI plan	Achievement as on reporting day	Subject/content of training program	Details of Training provider
BTP Trainer to be trained				
Supervisor to be trained				
AIC staff to be trained				
Manager/member enterprise to be trained				
Manager/member enterprise to be trained				
Workshops to be organized				
Other Training programs to be conducted for cluster members (provide details)				

Note – IC to submit supporting references in separate sheet capturing: Names with designations of IC member enterprises/AIC staff who have undergone capacity building program, duration of such programs and whether any assessment/certification was done for them.

Annexure 40: Grievance Redressal Form

**Summary of Grievance**

Complaint reference number	
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Complaint Date		Closure date	
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Name of the complainant	
Details of the complainant (Address along with phone number and e-mail address)	
Nature of complaint	
Name of the individual / department the issue raised against	
Designation & Office address	
Brief description of grievance	
Name of Individual / Department Grievance assigned (Redressing officer)	
Designation & Office address	
Action Taken	
Redressal measures	

Feedback of Complainant	
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Signature of redressing officer:

Signature of complainant:

\_\_\_\_\_

\_\_\_\_\_

Please attach all relevant documents for records



