RAKSHAK FOUNDATION

Process Improvement of UP Skill Development Mission & Implementation of Management Information System

JULY 2014

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Preface

I, Ram Moorthy R, student of IIM Lucknow took up summer internship with Uttar Pradesh Skill Development Mission through Rakshak Foundation. This internship experience was a great learning for me as I came across functioning of government schemes and their implementations.

Though I have worked with MNC for more than 3 years, I always wanted to know about government policies and their scheme benefits. Rakshak Foundation is known to provide students with great opportunity to work along with government officials and grass root problems each policy implementation faces.

This internship with skill development department of state of Uttar Pradesh, has given my good insights on public policy and barriers in passing the benefits to public.

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Acknowledgements

My internship with UPSDM has given me lot of insights about functioning of government departments, barriers in implementation of government schemes and grass root problem to be checked to efficient delivery of the public schemes.

I thank Mr.Vishal Singh, Joint Mission Director for his continuous guidance throughout my internship. Spending his valuable time for us was of great help, so that we can interact our queries and get things sorted out on time.

I thank Mr.Subodh Yadav, Manager, E&Y Consultant Partner along with Mr. Prasanth Katiyar, Mr. Pranshu Gupta and Ms. Ravleen Seth for their valuable inputs and explanations given for each and every query we raised.

Also I thank UPSDM State Unit and other EY employees for their constant support throughout out internship period.

Finally I thank Rakshak Foundation for creating this wonderful opportunity for me to work in government scheme implementation project.

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Executive Summary

The present take on the issue of shortcomings and reforms to Indian Vocational Education and Training (VET) in general and UP in particular has been undertaken at a time when the country faces both opportunities and challenges in India's growth story. While the opportunities are in terms of a demographic dividend, the challenges are posed by persistent skills gaps: barely 2 per cent of the Indian workforce has formally acquired skills and another 2.4 per cent of workers have some technical education. The Indian government has set a target to skill 500 million people by 2022. In another estimate, the number of people to be skilled by 2022 is 291 million if India wants to become a leading manufacturing economy in the world (Mehrotra et al 2013, Institute of Applied Manpower Research).

A drastic restructuring of existent operational setup of VET system has been suggested as one of the key routes by which the persisting skills gaps could be plugged and inclusive growth could be pursued in the midst of demographic and structural economic transformation. The study engages with this question by offering a reform agenda through the adoption of certain critical elements of the historically successful dual system, i.e. the combination of practical and theoretical vocational training. However, the Indian labour market requirements and skills needs raise concerns that go beyond the experience in western countries.

The three major objectives of the study are

1) To understand the skills-related issues of in India;

2) To examine the replicability of some tried and tested elements of the dual system in the Indian context;

3) To develop workable recommendations regarding the areas in which the Indian system of skills development could be enhanced.

This project deals with process improvements of UP Govt. Skill development Mission, We have discussed the existing issues of the project, made field visits to training centres where scheme implementation is carried on, had conducted several rounds of discussions with state unit departments. At the end of the project, we have given some workable suggestions and improvements that can be amended to existing framework of activities carried on.

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1. Introduction

India is one of the few countries in the world where the working age population will be far in excess of those dependent on them and, as per the World Bank, this will continue for at least three decades till 2040. This has increasingly been recognized as a potential source of strength for the national economy, provided we are able to equip and continuously upgrade the skills of the population in the working age group. But the rosy picture stops right there.

India is among the countries with the lowest proportion of trained youth in the world. Moreover, Vocational Education carried out in secondary schools (since the mid-1980s) has received very limited funding in recent times; it has remained non-aspirational, of poor quality and involves little industry collaboration

1.1 Human Resource Paradox

India's demographic window offers both opportunities and challenges. From the perspective of the opportunities coming up, India is set to become one of the youngest nations in the world by 2020. It is further strengthened by the fact that the average working Indian will be only 29 years by 2020 as against 37 in China and the US, 45 in Europe and 48 in Japan (Economic Survey 2011-12, Government of India), thus clearly indicating how India will have an edge over the rest of the world with respect to its key human resources. However, the challenges, if not addressed, may render such demographic dividends null and void.

The larger structural transformation of the Indian economy has triggered an outflow of rural workers from traditional agricultural occupations: thirty-seven million workers left the agriculture sector between 2004-05 and 2011-12 to join the construction, manufacturing and service sectors. These workers have largely ended up in the informal sector working in low-paid jobs, largely due to lack of any form of vocational training. Another challenge that the country currently faces is what we call the human resource paradox: high youth unemployment against a low skill availability of the workforce. Currently, it is as low as 5 per cent if vocational education and other forms of technical education are taken together, compared with more than 60 per cent in many other countries (see Planning Commission 2008; FICCI 2012). The challenge is further strengthened in light of the fact that it is specifically in employment creating sectors such as manufacturing, software and automobiles that the firm-skill incompatibility is most severe.

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Persisting skills gaps in the Indian labour market have been a serious concern for both policy makers and industrialists in India. Various studies have highlighted skills gaps in different sectors in India (Institute of Applied Manpower Research- Mehrotra 2012; Chenoy 2012; Jamal and Mandal 2013). At an aggregate level, just over 2 per cent of the Indian workforce has skills training in formal vocational education and only another 2.4 per cent have received informal vocational training (Mehrotra 2012). The graduates who have received vocational education also lack the skills required in the labour market. Thus, the employability of graduates continues to be a major concern and there is no formal link between general education and vocational training in the country. In addition, the labour market in India is undergoing a dynamic change. According to National Policy on Skills Development 2009, it is expected that over the next 15 years, 365 million people will be eligible to join the workforce and about 11–13 million people are expected to look for employment opportunities each year.

Sensing this urgency, the 12th five year plan positions the skill development in different sectors as an important task (Mehrotra et al, forthcoming). Persisting skills gaps also have qualitative dimensions, an aspect often not highlighted in the public discussions. Studies on the quality of skills and mismatch in demand and supply (FICCI 2006, World Bank, 2007, ILO, 2003, IAMR, 2010) have brought to fore issues such as lack of marketable skills and low standards of quality. The reasons cited include obsolete and conservative courses, failure to upgrade modules, failure to respond to market signals and the consequent lack of functional skills (IAMR, 2011)

1.2 Objectives of the Skill Development Policy

The objectives of the national policy on skill development include:

a) Creating opportunities for all to acquire skills throughout life, and especially for youth, women and disadvantaged groups.

b) Promoting commitment by all stakeholders to own skill development initiatives.

c) Developing a high-quality skilled workforce/entrepreneur relevant to current and emerging employment market needs.

d) Enabling the establishment of flexible delivery mechanisms that respond to the characteristics of a wide range of needs of stakeholders

e) Enabling effective coordination between different ministries, the Centre and the States and public and private providers.

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1.3 Role of Central and State Governments in Skill Development

As discussed earlier, the skill development initiative incorporates all skill development arrangements, activities and schemes that include the formal vocational trainings being provided by ITIs, Polytechnics and colleges maintained and run by State governments and schemes of the central government ministries which are mostly implemented by the State governments. It also includes skill development activities being directly undertaken by Ministries and organizations of the central government and also by the newly constituted National Skill Development Corporation.

State government strategy and programmes for skill development are woven around these central schemes and support institutions. Many State Governments have set up State Skill Development Missions (SSDMs) as nodal bodies to anchor the skill development agenda in the State. SSDMs are expected to play a significant role in escalating the pace of skilling, through identification of key sectors for skill development in the State, as well as coordinating with Central Ministries and State Line Departments, as well as industry and private training organizations. Each State has adopted a structure of SSDM that best suits the local environment and the State vision for skill development.

1.4 Major Existent Schemes for Skill Development Initiative

1. Skill development Initiative (SDI)
2. Swarna Jayanti Shahari Rozgar Yojana (SJSRY)
3. National Rural Livelihoods Mission (NRLM)
4. Backward Regions Grant Fund (BRGF)
5. Multi-Sectoral Development Programme (MSDP)
6. Border-Area Development Programme (BADP)
7. Special Central Assistance (SCA) to Scheduled Castes Sub Plan (SCSP) and Tribal Sub Plan (TSP)
8. Schemes for Districts Affected by Left Wing Extremism, MoLE
9. Skill Up-gradation Training Programme (SUTP), Ministry of Youth Affairs and Sports
10. Building and Other Construction Workers' (BOCW) Welfare Cess
11. Integrated Skill Development Scheme, Ministry of Textiles
12. Hunar Se Rozgar (HSR), Ministry of Tourism
13. Trainings sponsored by the National Skill Development Corporation (NSDC)

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2. Methodology

2.1 Literature Search

The research method adopted in our internship programme is market research which includes surveys, interviews and analysis of data based on field visits. The studies about the states like Andhra Pradesh and Gujarat following the similar programme are done and highlighted below

2.1.1 Andhra Pradesh - Institutional Framework

The program is named as Rajiv Yuva Kiranalu. Benefits of the program are listed below

- A state level council Rajiv Education & Employment Council of Andhra Pradesh (REECAP) has been established under the chairmanship of Hon Chief Minister. The Concerned ministers and principal secretaries are member of the council. There are members from industries and academic field as well.

- A society has been created to implement the program in mission mode. The society is named as Rajiv Education and Employment Generation mission of Andhra Pradesh (REEMAP).

- REEMAP is chaired by its chairman and mission director is member secretary of the mission and heads of other submissions are the members of the mission.

- Eight sub-missions have also been created under eight different departments (namely Rural Development, Urban development, Employment & Training, Technical Education, Hyderabad District, Disabled Welfare, Minority Welfare and Tribal Welfare).

- REEMAP's role is to play a central role in the implementation of RYK acting as an umbrella entity. It coordinates the efforts of all eight departments and ensures that targets assigned to each sub mission are met while adhering to quality parameters set by it.

- REEMAP has a program management unit with officers either on deputation basis from other departments or hired on contractual basis. It is a very lean organization.

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- REEMAP does not interfere in the existing schemes of the respective departments it only decides the broad common parameters and strict adherence to it.

- The common services provided by the REEMAP are
  - Target Allocation
  - Periodic Performance Reviews
  - Establishment of Skill Development Fund.
  - Biometric Attendance System.
  - RYK Portal Management and MIS reports.
  - Communication and Awareness Generation.
  - Capacity Building of Functionaries.

Program/schemes

The process through which the RYK is implemented has following components:

- Government managed training centres
- Training centres being run by professional training partners. These partners are selected through two stage bidding process. Training partners come with job linkages and take up training and placement responsibility.
- Industry based training models where industries will take-up in house training which will lead to absorption of candidates. Government agencies facilitate mobilization of manpower of requisite qualification.
- Training centres in collaboration with GOI Partners.
- Self-employment: mostly in urban areas, for such candidates who acquire highly demanded employable skills.

However, the mainstay of the program is training provided through private training partners. These partners have been hired through two stage bidding process.

Funding Pattern

The cost of training programs is met by individual departments through their existing funds under different schemes already under implementation and mostly being Government of India schemes. A skill development fund has also been created to meet additional fund requirements.

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Integration of other Departments

- REEMAP has been able to successfully integrate the different departments in its fold. The basic mandate of the REEMAP is to design the framework, set up the targets and quality parameters and monitor adherence.
- The mainstay of the entire program is training programs through professional training partners.
- RYK has also been able to successfully integrate government of India schemes.

Monitoring Mechanism

The overall monitoring of the program is being done by district level committees, individual sub missions as well as by REEMAP but there is no third party evaluation as of now thus the monitoring mechanism still needs augmentation.

Annual targets

The total target under RYK is 15 lakhs from 2011-12 to 2014-15. The target for year 12-13 is 4.994 each. Total registration is app 20.44 lakh.

Mobilization

- Mobilization of candidates is joint responsibility of private agency, concerned sub mission and REEMAP.
- Media campaigns have also been used to effectively publicize the program

General Salient Features

- REEMAP has also established post placement tracking system and post placement support services. This initiative has provided sustainability to efforts by all the stakeholders. It has also resulted in confidence building of candidates to cope up with the new challenges of their jobs as well as challenges due to migration from rural to urban centers.

- There is no standardization of the courses leading to ambiguity in content of course provided by different private agencies.

- There is no provision for certification of the courses.

- The main challenges are lack of quality trainers, franchising, lack of hands on practice to trainees in labs, lack of evaluation and assessment mechanism.

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2.1.2 Gujarat - Institutional framework

- The entire program is led by Skill Development Mission. Director Employment and Training is also ex-officio mission director of skill development mission.
- The mission has been created with the intent of creating an integrated framework for skill development and as an apex body for monitoring, coordination, convergence and providing overall policy directions for all skill development activities.
- It has six different departments in its fold
    - Dir. Emp. & Trg. (ITIs,KVKs,ITCs & VTC)
    - Rural development dept. (RSETI & mission Mangalam)
    - Education Department (SCOPE & GKS)
    - Industries and Mines(EDPs)
    - Urban Development Department(UMEED)
    - Tribal Development Department(VTCs,ST Emp. Exchange)

However, each department is running their schemes separately and as of now the mission is only collecting data from other departments. Each department has its own defined process for its programs.

The Programs/Schemes

The main components of Gujarat model as far as skill development is concerned under DET

- Craftsmen Training Scheme
- Apprenticeship Training Scheme
- Kaushalaya Vardhan Kendra
- Superior Technology
- eMPOWER
- Flexi MoU

Funding Pattern

- The entire funding of all these flagship programs is through state budget and there is not much reliance on central government schemes. SDI scheme funds has not been used in a big way
- The state government is planning to create a corpus fund for this purpose so that the cost of training can be provided through this corpus fund and later on it can be reclaimed from SDI scheme.

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Cost Structure

The costs are not worked out on per hour or per student basis. Each scheme has budgetary support from the state budget.

Monitoring Mechanism

- The monitoring mechanism is weak. There is no third party evaluation of the facilities.
- The assurance of employment is not in built in the program hence placement and post placement tracking activities are not in place in any structured manner.

Integration with other departments

- The mission actually is not a platform for convergence of all departmental skill development activities as no formal arrangements have been created to strengthen the linkages between the departments.
- There is no policy framework for other departments to follow as a uniform process. Each department is implementing its own program with its own policy and planning. The capacity and achievements are reported to the mission.

Mobilization

Mobilization is the responsibility of the government departments only. For this, aggressive media campaigns have been designed and the Hon Chief Minister has given a lot of support in publicity campaigns.

General Salient Features

Programs through KVKs are community demand driven, hence, emphasis is more on self-employment. As of now, out of total trained candidates 675314, 10-12% are employed in organized sector, 30-35% self-employed and rest are divided in three categories of skill up-gradation, value addition and skill enhancement of students.

2.2 Field Visits

There have been 7 field visits till now. The centres visited are as below

Lalganj	Dalmau	Rae Bareli
Kanpur	Allahabad	Sitapur
Lakimpur Kheri		

Table 1: List of Field Visit Centres

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2.2.1 Appealing facts

Candidates Interest

The candidates undergoing training are very enthusiastic to learn the courses. The students are proactive while interacting with them and shared their opinions about the programme. The attentiveness to the classes is satisfactory as the students' registers are maintained well in terms of the content. The practical are done well by the students when asked to perform so. They are also aware about the assessment and the placement opportunities available after the training.

Amenities

Some Centres in Rae Bareli, Kheri, and Allahabad had decent facilities of drinking water, wash rooms, computer lab, training rooms etc. The students are also satisfied to a fair level with the available provisions and equipment in their respective centres. Centres in Kheri and Allahabad have a generator to avoid power interruptions.

Flexible Timings

The students are in agreement with the general timing of 9:30 am to 1:30 pm in most of the centres. They opined that student dropout rate would increase if this timing is altered.

Trainer Qualification

The trainers in almost every centre have good competencies in their respective areas with fair experience. Students undergoing training also find the quality of education imparted is up to par.

Effective Publicity

There are candidates who are coming from around 50-60 kms to undergo the training. Also some students left their jobs for undergoing this programme. Even the calls from UPSDM and PTP's attracted the candidates towards this programme.

Course Content

The course outline and the books provided are decent enough for the training to progress well. Some of the PTPs' are using the NIMI specified textbooks for the programme which acts as a check on quality training.

Diversity in the batch

The batch comprises of the minimum criteria regarding the number of females and reserved categories like SC, ST and OBC.

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2.2.2 Non Appealing Facts

Franchisee Model

Franchisee or Sub contracting is not allowed as per process guideline, but as per our visit to these centres, we can clearly see these centres are not managed by PTP owners or persons appointed by PPT's. PTP's are not involved in even in upgrading the infrastructure development for these centres like providing classrooms boards, Bio-Metric Devices, computer facilities

Infrastructure Issues

Some of the classrooms state was in very bad condition. No proper lighting or even benches were not available. Black/White board was very small for a batch of 25 students. Location of centres were not prominent. Number of computers didn't match the batch strength and workshops doesn't have enough raw materials to work on.

Bio Metric Attendance Tampering

General observation of class activities revealed that on an average only 10 students from an approved batch turn up daily. It is highly possible that the attendance submission can be tampered with computer software's and tools. There is also likely scenarios that same person can use different fingers for giving attendance up to 5-6 candidates. Bio Metric finger prints is not captured while candidate registration, it is done while batch enrolment process, which is done by training centres. Training centres can upload finger prints of their friends/neighbours/relatives in name of candidates, so that they can fake attendance whenever necessary

Candidate Miscommunication

Many candidates have been enrolled into batch by giving false information from PTP's like these scheme gives surety of government job, stipend on attending. INR 1000 given by UPSDM for uniform is considered as direct stipend for attending the classes. Female Candidates who enrolled for different course like fashion designing has been allotted to Welding, but are continuing the courses in the lure of placement incentive, with the perception that placement incentive will be given in spite of being unplaced.

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Post Placement Payment issues

10% of training cost will be paid to PTP's upon reaching 60% placement. On interaction with PTP's, they don't show much interest on getting these 10% as they feel it's extremely difficult to get candidates placed. PTP's are of opinion that these 10% can be forfeited as they don't form significant gains to PTP's than efforts taken to place them

Other Operational Issues

- Location of centers are not prominent and UPSDM board is not clearly visible as stated in process guidelines
- Most of the centers basic amenities like fans, lighting and drinking water are not complying with standards
- Many candidates travel daily around 40-50 km to attend classes, which directly leads to high dropout rates
- Mergers of batches are common as some centers have more batches of same course, but needed to be run at same time due to lack of infrastructure
- Lack of first aid box in training centers to handle emergency situation
- No standard course content – leading to high dependency of courses on capability of trainer
- Raw materials for practical were not available and sometimes candidates are charged for the same
- Class timings were not flexible and attending 4 hours a day sometimes becomes tedious process

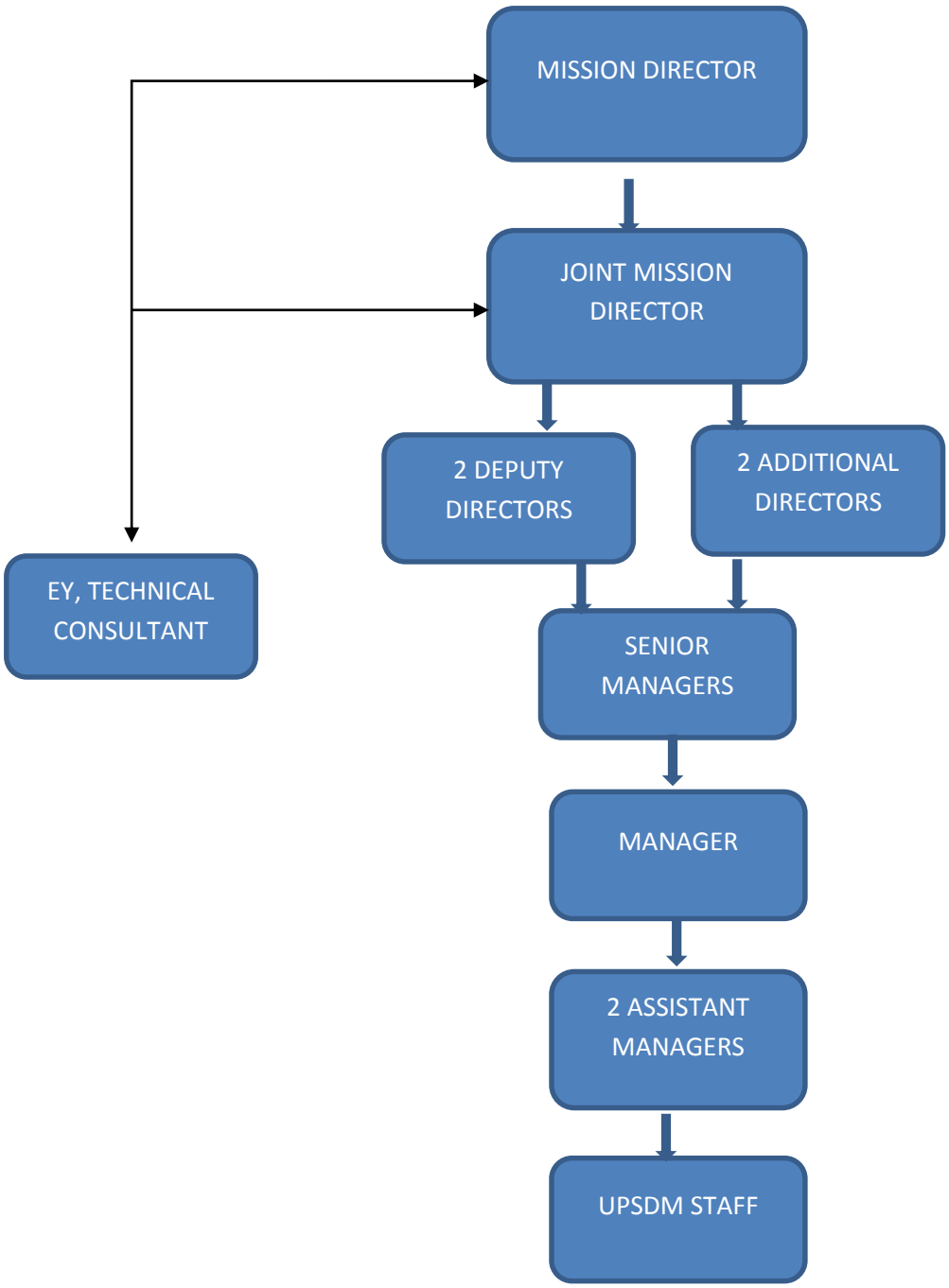
2.3 Surveys

Surveys are made with a motive to rate the training centre based on some parameters like no. of students and trainers, basic amenities, infrastructure etc. This has helped the technical consultant (EY) to finalize the matrix to rate the training centre with major parameters. The survey floated is added in the annexure.

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3. UP Skill Development Mission and Government Scheme

3.1 Organizational Structure



UPSDM technical consultant **Ernst & Young ("EY")** has designed a detailed document about the process flow of the programme. It is actually based on the UPSDM mission and target in the policy. They drafted documents like process guidelines, request for proposals and job description manuals for all the concerned stakeholders.

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3.2 Stakeholders

The primary stakeholders in the UPSDM programme are given as below

- UPSDM
  - SPMU
  - DPMU
- Candidates
- Training Partners
  - Large PTP
  - Small PTP
  - Govt. Providers
  - Flexi Partners
- Assessment Bodies
  - DGET
  - SSC
  - Empanelled Assessment Bodies
  - Individual assessors
- Employers
- Placement Agencies

3.3 UPSDM Process

UPSDM has the following seven major processes involved in implementation of this programme, namely

- ✓ Candidate Management
- ✓ Training Partner Management
- ✓ Batch Management
- ✓ Assessment & Certification
- ✓ Placement Management
- ✓ Financial Management System
- ✓ Miscellaneous: Integration of various IT portals

An integrated IT platform incorporating above listed seven processes is still in the development stage and it need to be robust for efficient programme management. The IT Platform for UPSDM is based on the Skill Development Initiative (SDI) portal which is already designed and extends the functionalities provided therein for wider applicability to the individual scheme context.

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Candidate Management

UPSDM runs a state wide awareness campaign in order to target the youth aged of 14-35. There are training partners (TP's) who are actually contracted to take up the training and these TP's run the mobilization drives in their respective areas. The candidates who want to undergo this training program need to register online giving all of his details in the IT portal. Following the online registration, the candidate would be enrolled with a username and password. Once the training is done, the candidates need to take an exam based on which they are given placement. There is also post placement support to these candidates viewing the details of training, certification and placement.

Training Partner Management

The training partners in order to take part in UPSDM programme need to register themselves online once the details are captured by SPMU officials and contract is signed. In this the TP's register their centres where they want to run the training. Once this is done, the TP centres are inspected and the reports are sent to them indicating the approval or rejection. If TP centres are approved they are paid accordingly. There would also be evaluation reports based on training conduct. It is also the responsibility of TP's to capture the daily attendance of candidates and trainers. The TP's payment would be complete only when he/she reaches the placement target given to them other they would be penalized too.

Batch Management

This section includes the batch formation process for respective training partners based on scheme allocation and categories. In this the trainers are given assignments and batch training schedule.

Assessment and Certification

The assessing bodies need to register themselves once they bid for taking part in this programme. Next would be the allocation of assessors and scheduling of assessment. Once they assess the candidates payment is done accordingly.

Placement Management

Once the candidates are placed the TP's need to track the placement record and also post placement for 12 months. There should also be a database of all the employers including the potential ones.

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Financial Management System

UPSDM integrates six different schemes of Government of India under one umbrella. Financial Management System shall be implemented separately by an independent vendor (as distinct from the Technical Consultant) and will be integrated with the UPSDM IT portals that shall help in management of the operational aspects of the Programme. The Financial Management System will have the following components:

► Budget preparation subsystem: Budget Estimation, Allocation and Monitoring are the key tasks of this subsystem

► Budget execution and expenditure management subsystem: The purpose of this subsystem would be to monitor and account for revenues (grant amount converted from liabilities based on utilizations and public expenditures under different schemes

► Reporting and auditing subsystem: It is required to ensure transparency, accountability and compliance with the budget or with existing regulations that govern public expenditure management. The utilization certificates for usage of funds under each scheme will have to be submitted for every financial year

Miscellaneous

This includes the integration of all gateways i.e., IT portals for payments of various stakeholders concerned. It also comprises of access management system, biometric attendance tracking, UPSDM interface (SPMU & DPMU), User Manuals, Training Module, UPSDM Website and FAQ's.

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4. MIS System

Integrated IT system for managing the UPSDM forms the backbone architecture to support all the activities right from candidate enrolment to payment to training partners, certification partners and post placement candidate support. Management Information System will incorporate all approved process guidelines and support for scheme implementation.

4.1 Objectives

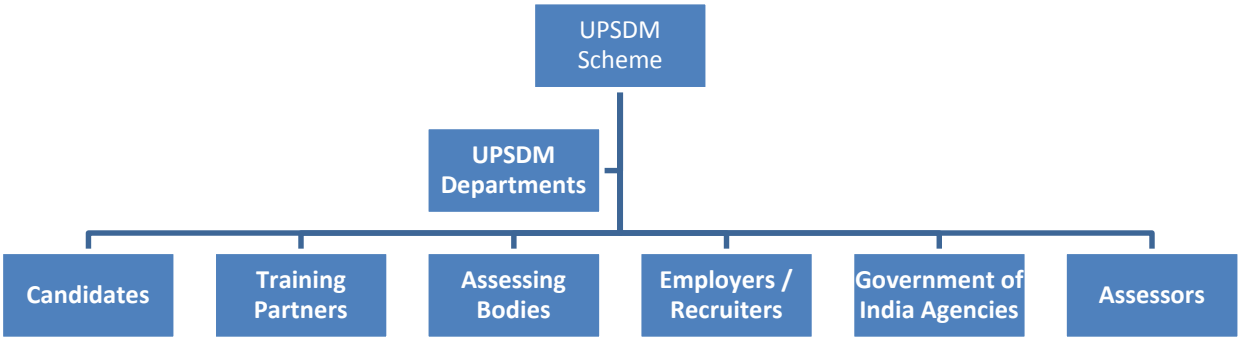
- Developing monitoring system for the mission activities at various levels like candidate management, TP management, Assessment management, financial management
- Designing systems for post placement tracking of trainees
- Maintain accountability of all stakeholders in a single platform to follow standards set by UPSDM State unit
- Creation of dashboard for various stakeholder for efficient management of information
- To design an paperless initiative which will be useful for real time information and timely action on all process
- Bring transparency into system so that general information is available to public
- Communication easing with training partners and candidates
- Support Attendance management of candidates, trainers with use of Bio Metric system

4.2 Advantages of MIS

- Streamline reporting
- Avoid duplicate data entry
- Efficiently manage to converge existing 7 schemes under single umbrella
- Dashboards and MIS reports
- Transparency and timely availability of information
- Monitoring and Evaluation

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4.3 Stakeholders



4.4 Modules

MIS system consists of sub modules which has their own functionality and stakeholders have various level of access which is required for their actions on regular basis



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4.5 Problems faced

- No clear demarcation of MIS modules which will be in use by various departments
- Handling exponential data increase due to daily activities
- Standard format set for uploading documents and easily view ability without download
  (E.g. Photos to be uploaded by training partners contains irrelevant pictures)
- Requirement analysis from end users like UPSDM SPMU staff and DPMU staff
- Data extraction of existing batches needs more than 3-4 hours of effort for consolidation

4.6 Recommendations

Enabling an IT system for smooth operations takes time but following suggestions are easily implementable notes which can be followed for smooth functioning of IT systems

a) End User Accetability test

Conduct a test run for end users like SPMU staff, Training Partners, Candidates to know their suggestions for improvement of user interface. This will helping in creating robust design for users and results in reduction of redundant functions carried on

b) Data Extraction Method

Currently there is no method via user interface to view and download the data present in the existing system. There is high possibility the existing data may be outdated or vague. Create a data extraction methodology for real time analysis

c) Module for Call Center executives

At present there is no module designed for call centre executives who act as single communication channel between UPSDM and candidates. Take priority in creating the candidate information viewable module, which will contain details of candidates and list of training centres in their neighbouring areas. This will directly help in reducing drop out ratio, which is essential for achieving scheme targets

d) Uplaod Formats

Strict validations should be in place for data upload by PTP's. On visual check conducted in the system, most of the files uploaded are not in required formats

e) Dashboard for various stakehokders

Dashboard forms a major user interface which acts as first check point. Create dash board on priority for better accountability

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5. Results and Discussions

Below are some of the operational problems encountered by various stakeholders which we came across via field visit. All problems stated below are sourced from various parties by interrogation

5.1 Candidate Management

- Candidate misconception about the scheme, prospective candidates look this scheme as entry point for government jobs offered by various departments
- Candidates are forced by PTP to take up the course which is not of interest to them, but enrolled into batches as their names appeared in PTP area list
- Female candidates are enrolled into courses e.g. Welding, Plumbing, Automobile repair which required more muscle power and usually taken up male
- Candidates is of perception that cost allocated for uniform i.e. Rs 1000 will be given as cash which candidates think that cash given to them as part of incentive to attend class
- Not much importance is given for soft skills and candidates are not aware of workshops/ practical sessions
- Candidates report that they travel on average of 40-80Km on daily basis to attend classes

5.2 Training Partners

- Many PTP's operate on franchise basis and use this scheme only for profit motive
- Training centres without proper facilities like seating capacity/computers/ Drinking water/restrooms are approved
- Some training centres also pose threat to safety of the candidates
- PTP's are not clear of the process and standards to be followed
- Course content varies a lot across PTP's and some centres quality of training is questionable
- No proper trainers is place. There were instances where soft skill trainer was not able to converse in basic English
- Many centres visited have address mismatch and PTP's doesn't have personnel placed in centres

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- PTP's pay to franchise centres ranging from Rs7.00 to Rs8.00 / Candidate/ hour or flat pay of Rs 900 – Rs 1500 / candidate based on the location of the centre(Rural/Urban)
- Approval of such centres arise question of monetary benefits gained by DPMU staff for approval of training centres
- Some instances were found on tampering of bio metric attendance and high possibility of centre personnel calling their friends/relatives for imprinting at time of registration so that full attendance can be given daily
- Location of training centres at some places are so interior to accessible roads leading to less visibility of scheme implementation

5.3 Organizational structure

- SPMU staff roles and responsibility are not defined clearly
- Many instances arose on question of final decision making
- Motivation of state unit was observed very low as there was always dependency of other departments
- Proper hierarchy of reporting is lacking and day to day operations are carried on urgency basis. There should be order of priority for each tasks and task deadlines has to be defined
- No mapping of SPMU staff seen with process consultants and flow of information is not frequent between their counterparts of consultants

5.4 Call centre Unit

- Call centre executives doesn't have information of current training centres and courses which they offer
- Candidates calling them on frequent basis are asked to wait for receiving SMS from SPMU about batch formation, which is not part of operational procedure
- No real time information check on calling candidates can be made leading to high prank calls
- No proper accountability of call received and response given is noted which can be used for further improvements in process and posting FAQ's
- Call centre executives are not aware of UPSDM process and their replies are generally limited asking the candidates to wait for sometime

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6. Recommendations, Scope and Strategy for Implementation

6.1 Process Improvements

a) **Placement linked training cost percentage has to be increased from 10% to 25%.** The main objective of UPSDM is to make placement opportunities for candidates. Current 10% is very less and PTP's may consider as definite loss as cost of making efforts to get placements may exceed the actual 10% cost

b) While batch formation, **some courses like Welding, Plumbing etc. have to be exempted from enrolment from female candidates**, the drop in target can be compensated by increasing the mandatory percentage of female candidates in courses such as ICT, Fashion designing, Embroidery, etc.

c) Uniform material can be sourced from direct vendors by SPMU and dispatch non stitched materials to the training centres. Cost of stitching can be standardized and only that can be transferred as benefits to training centre. This is to ensure that candidates get standardized uniform and **actual allocation of uniform cost is beneficial to the candidate**

d) **Standards has to be outlined for self-employment considered as placed**. As of now, no clear ways of getting salary slip for job works like plumbing, stitching, etc. are existing

e) **All Course content has to be standardized**, existing NIMI courses can be adopted and other courses which doesn't have course outline has to be designed with help of government ITI staff. This has to be taken up as high priority to ensure quality learning

f) **Field visits to neighbouring companies/workplaces has to be made mandatory**. As skill education is mostly on experience learning, a visit by candidates to workplaces can help them understanding better insights of the skills they need to develop and improve on

g) **Create an Email domain for UPSDM staffs**, it is highly likely any hacker can easily tamper records in currently used GMAIL domain. All mails sent via UPSDM domain, should be considered as authentic views of UPSDM

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6.2 Induction program for all stake holders

Induction program	Objective of the induction program
SPMU Staff	❖ Training on policy, process, roles and responsibility of each department ❖ Targets to be met for each department ❖ Scenarios explaining actions to be taken, deadlines for each documentation, Usage of MIS system for real time information, ❖ Interaction with PTP's and DPMU training ❖ Grievance readdresses
DPMU Staff	❖ Overall organizational structure, DPMU responsibilities ❖ PTP communication, Training centre approval, Performance check on PTP's ❖ Usage of MIS system ❖ communication with SPMU departments
PTP	❖ UPSDM Process, Payment modules, Targets for each district, Scheme targets ❖ Centre requirement, Placement initiatives, Performance review ❖ MIS for bio metric and other reports ❖ Department in SPMU to contact
Assessors	❖ Process, Payments, Requirements ❖ Submission of documents through UPSDM portal
Call Centre Executives	❖ UPSDM process, Training on using MIS portal for information ❖ Answers for FAQ's, Suggestions and improvements

- It is also recommended for conducting a **team building activity** out of office on a quarterly basis. This will help in **motivating the staff and build collective responsibility**

6.3 Branding & Promotion

a) Along with uniforms, **candidates can be provided with Bags, Notebooks & Caps** can be given along with **UPSDM Logo**, this induces sense of belongingness for the candidates, help to build a **brand for UPSDM and spread mission awareness to general public**

b) **Centre location should be taken into consideration**, insisting PTP to set up centres in prominent nearby towns/ tehsil capitals such that no candidate travels more than 30 kms

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c) **Visibility of training centre and UPSDM boards has to be made as compulsory** parameters in training centre approval and performance review of PTP's. Centres located in interior roads fail to communicate UPSDM scheme benefits. Location of TC's in prominent areas will **help in placement opportunities for local entrepreneurs to hire from training centres**

6.4 Call Centre Operations

a) Presently call centre operates as a separate unit in different location. There is a clear communication gap between the process in place and queries they respond to. **Accommodate Call Centre executives in SPMU building** for better interaction

b) **Develop Call Centre IT module** for information viewing by executives taking calls. IT module should consist **of list of TC's in each district, courses approved for each centre, Candidate information etc.**

c) **Proper training to call centre personnel's** on queries raised by candidates should be tracked online and answers for FAQ's asked can be standardized

d) Most of the queries raised by calling candidates is about their status, we can **design a mechanism of diverting them to nearby/preferred course training centres** by providing them contact info of the centre. This will lead to **massive reduction of drop out ratio** in turn able SPMU to achieve scheme targets

6.5 PTP Management

a) Moving forward along with the existing model, **accept franchise model for PTP's** and lay constraints to PTP's to **invest in infrastructure** of the training centres to improve learning conditions

b) A Public Private Partnership Model can also be considered taking potential employers as partners so that all process from **designing course content to workshop training are done in consultation with these partners**, so that candidates can acquire skillsets which can be directly put in use by them

c) **Training centre approval** from UPSDM SPMU should be **done on submission of photos of classrooms, workshops and overall facilities**.

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These photos can be verified for authenticity in subsequent months on visit to training centre

d) **Safety and basic amenities should be given prominence** for approval of training centres

6.6 DPMU Operations

a) Bio metric capturing of **candidate finger print for the first time has to be done in DPMU** office, so that only real candidates are uploaded in the system

b) DPMU must ensure proper uniform is distributed to candidates, **SPMU must approve the invoice of Uniform cost only on approval of DPMU on checking the supplier bill**. DPMU must have a copy of purchase bill provided by the PTP. While submitting the claim, **PTP has to upload scanned copy of form signed by DPMU**. This ensures candidates are real beneficiaries of uniform provided by UPSDM.

c) **Authority of DPMU** over centre approval and centre inspection is high. This **has led to DPMU employee tending to get monetary benefits from PTP's to get work done**. Certain mechanism has to be formed to supervise and that **supervising body should be independent of PTP interaction and constant shuffling** is required. Zonal wise rotation of visit should be carried by DPMU to check and gain experience learning from other nearby districts

6.7 Candidate Communications

a) **Candidate communication should be clear** and each training centre should showcase the **general process and rules** they comply in notice board. Before batch formation, centre should get signed form from candidates stating all the rules & regulation in acceptance letter

b) Candidates must be aware of the fact that even though training centre proposes their name in a course/sector/centre location, **candidates have choice not to accept to be part of that batch** and they will be moved back to central pool where other training centres may see them as potential candidates

c) **Uniform should be made compulsory on day of assessment** and photo has to be taken by assessment partner displaying the exam hall with students writing the exam

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7. Suggestions for future

7.1 Strengthening Duality Principle in Education:

In India, the practical component of vocational education and training is missing to a large extent. MHRD estimates that approximately 75 to 80 million jobs will be created in India over the next 5 years. 75% of these new jobs will require vocational training to enhance the employability prospects (MHRD 2011). Even if this 75 million estimate is overoptimistic, given that new non-agricultural jobs created between 2000 and 2012 has been on average only 7.5 million per annum, the fact remains that new jobs require skilled persons, while those already in the labour force also need access to VET.

There must be a practical training built into the Vocational Education and Training system for which the state and industry associations should play a key role

7.2 Enhance public-private partnerships

Both the government and private companies should come to a consensus regarding the norms to be followed with respect to the structure and content of courses and how they should be made integral to practical training. A closely related issue is the relevance of joint certification. Industry must be on board during certification as well, as they are the major employers. Unless there is practical training at the work sites combined with class room teaching in schools, the private sector would not be able to participate in joint certification.

To ensure the organic involvement of private companies, the government must understand how the duality principle could prove to be an agent for change. It will also promote transparency of qualifications and facilitate learner mobility between different qualifications, thus encouraging lifelong learning. In India, the National Vocational Education Qualification Framework (NVEQF) developed by the Ministry of Human Resource Development (MHRD) provides a descriptive framework for linking various qualifications for setting common principles and guidelines for a nationally recognized qualification system.

This would cover Schools, Vocational Education and Training Institutions, Technical Education Institutions, Colleges and Universities. The MHRD in alliance with the state governments have already initiated the NVQF with more than 1000 VET schools. However, although the Auto Sector Skills Council (SSC) has been preparing National Occupation Standards, industry participation in the curriculum building is almost absent and this could only be assured if the SSC are activated

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Across sectors with the support of the National Skill Development Corporation (NSDC). It is encouraging to see that in the auto sector, SSC has already been done and the Central Institute of Vocational Education Bhopal has developed the modules and standards; yet, industry participation in this sector also is also relatively inactive.

7.3 Develop a comprehensive VET Act

The regulatory system in South Korea and Germany with the involvement of the federal, regional and local governments and the various stakeholders offers lessons for the development of an institutionally and legally embedded VET in India. An Indian VET Act can be passed along the lines of the German VET Act which would integrate governance strategies. India is in urgent need of a legally embedded VET system such as the Vocational Education Act (BBiG) in Germany. It would be particularly helpful in mandating private sector participation in training. It could also provide legal sanction to the introduction of joint certification by government and private institutions of skills, which is another feature of Germanys VET system. Such certification would facilitate the placement of students/trainees in enterprises, as the latter would have greater confidence in the competencies of trainees whom they have certified.

7.4 Joint Funds: Creation of a single pool of funds

Establishing a National Training Fund for skills training is seen as a way to generate funds from private players for vocational training. This has also been suggested in the 12th Five Year Plan of the Planning Commission (2013). In the German construction sector, there is such a sectorial fund to which all companies must contribute, the resources of which are ploughed back into construction enterprises to enable them to provide training. At a national level, for instance, the

National Skills Fund (NSF) of South Africa serves as an example where payroll levies are directed towards including all sections of society. Twenty percent of the training payroll levy on formal sector enterprises is sent directly to the NSF and 80 percent goes to sectorial authorities (see Mehrotra and Ghosh 2012). Similarly about 62 countries around the world have already put some form of training levy in place.

Some large economies such as Brazil have had a training fund for over half a century and South Africa has had it for at least 10 years. Mehrotra and Ghosh (2012) have pointed out that the levy for NTF in India may start from the organized manufacturing sector since it accounts for about 78 % of output in total manufacturing. Large as well as small and medium sized companies should

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contribute to the fund. Given the fact that the organized sector accounts for only 15 per cent of the total manufacturing employment in the economy (Mehrotra et al, 2012), and the remaining is contributed by the informal sector, the authors have suggested the development of a policy framework to decide which of the firms are to be included in the levy framework depending on the turnover and the size of employment. Beneficiaries of the NTF should include both organized and unorganized enterprises. The training levy funds should also be used for financing students from poorer backgrounds as they are unable to bear the opportunity cost of undertaking training first before entering the labour market. This should also motivate parents to send their children to VET schools.

The National Skill Development Corporation, the Federation of Indian Chambers of Commerce and Industry (FICCI) and the Confederation of Indian Industry (CII) should cooperate with think-tanks working on employment/employability issues to develop the design of a NTF for India to address the long-term problem of skills shortages.

7.5 Train the trainers

Teacher training is a strong component of the German dual system to be adopted in India. India's VET faces a serious shortage of teachers. Even more serious is the problem that teachers themselves have had little or no practical industry experience, which is the opposite of the situation in Germany or China. Local industry must contribute for examples by offering trainers from industry to vocational schools and to introduce new courses relevant to the needs of local industry.

7.6 Create cluster-based training for small and medium-sized companies

Cluster-based training is another possibility for the small firms to get a sufficient number of trained personnel. For instance, they could develop a cluster-based training approach where a few firms belonging to a particular locality can jointly generate training programs through cost sharing.

Companies should be convinced of the fact that either a common platform or a sectorial approach with training based on clusters would form the first best alternative than the current practice of in- house training or competing for skills in the open labour market (22 companies in our primary survey expressed interest in inter-industry collaboration). In this context, the two variables of incentives and regulations become important. One of the advantages of cluster based and locally specific industry level decision making is that it is easy for firms to effectively assess

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the local demand and supply of manpower to be trained. Second, it is easy to bring the entire training system under a locally governed legal framework. The Micro, Small and Medium Enterprises Ministry of the central government could facilitate, even though the local companies should take the lead in such institutional arrangements.

7.7 Involve employers association and large companies in upgrading training institutes

In certain sectors like engineering, the employers' association has taken particular interest in advancing training programs. The Federation of Indian Chambers of Commerce and Industry (FICCI), an industry wide federation of chambers, has adopted several Industrial Training Institutes and has expressed interests in taking over more of them. It is true that they benefit by way of free capital cost in the form of buildings, machinery etc., and given the fact that they run efficiently and have wider acceptance, it is a policy which could be encouraged. What we would recommend in this context is that there should not be any discrimination between Indian and foreign firms, as the public good is accessible for all the firms. Large individual firms can also adopt ITIs. Tata Motors, for instance, has adopted nearly 137 ITIs in the country and this model has turned out to be successful in terms of financial assistance, training orientation and diversification. Infosys and Bosch offer good practices for large firms. The PPP model implicit in the above cases could be modified in a similar way that it should be embedded in the larger process of modernization of the economy.

7.8 Integrate skills training in the Companies Act

The Indian Companies Act (2013), as ratified by parliament, prescribes an expenditure of 2 per cent of profits on Corporate Social Responsibility activities in their respective areas of operation. Though the new regime would replace 57-year old Indian Companies Act, 1956 and usher in more transparency in the corporate bodies besides creating a new business environment for growth, the issues of either skill training or VET reforms are not adequately addressed. What would be desirable is to develop a "negotiated corporate social responsibility" (Raman 2010) and thereby neutralize whatever adverse impacts the PPP model is likely to have. The experiments of Tata Motors, Infosys, SAP and Bosch also signal the potential of modified forms of public-private partnerships and corporate social responsibility.

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8. Conclusion

Skilling of youth and creating productive job employment of youth of the State is one of the biggest challenges that we face today. The efforts in this direction so far have been inadequate and have also not been very effective due to lack of a cohesive strategy that links skills to employment. The UP Skill Development Mission aspires to change this by creating a platform which brings all stakeholders – trainers, employers, sponsoring departments and trainees together. The Mission has been designed as an integrator of all skill development programmes and schemes being implemented in the state and to plan and implement these schemes in a holistic and integrated manner.

The key task that the Mission will have to perform is to establish effective coordination with various departments for integrating the skill development efforts of all departments. Hopefully, the broad based implementing structures that have been proposed will help in achieving the desired collaboration. The second major task will be to develop effective partnerships with the private sector training providers. Systems that are transparent and facilitate speedier decision making should help in better relationship management with the private sector.

However, the biggest challenge will be ensuring gainful employment to the trainees. In a scenario where trainees and students from regular vocational streams are not being fully absorbed in the labour force, it would be a challenge to ensure that youth who are being skilled in short duration courses through UPSSDM are able to obtain remunerative employment. This will happen only if the mission is able to design courses that are relevant and the training providers are sincere in providing training, and above all if the economy grows and enough employment opportunities are created. We sincerely hope that this will happen and also that availability of large pool of skilled manpower may in itself create a virtuous cycle for more investments and thereby higher growth and employment opportunities.

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Appendix A: **Meetings and Interviews - Summary**

Frequency – Every Week (Mostly Wednesday) **Time:** 1.00 PM – 2.00 PM

Discussion:

Following are the extract of topics discussed during our meeting with Mentor. Each topic was worked on improvements were suggested in line with the process. For details on each topic, please refer to Weekly report submitted.

1. Overall study of UPSDM
2. Detailed view of MIS system
3. Evaluation of Bids
4. Roles and Responsibilities of SPMU Staff
5. Review of Batch Management Process cycle
6. Dash board creation for various stake holder
7. Current financial system process
8. Field Visit Details
9. Checking parameters in training centers
10. Roles and Responsibilities of trainers and PTP owners
11. Field Study Report on visited centers
12. Recommendations including candidate views
13. Assessment module clarification
14. Call center requirement gathering
15. HR JD manual scope
16. Improvements in scheme benefits
17. Circular and Notes for stakeholders
18. Improvements in IT module
19. Certification process definition
20. Operations expansion strategy
21. Presentation of final report to UPSDM

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Appendix B: ***UPSDM – Training Centre Evaluation Form***

PTP Name : TPC Centre Name :

Address : TPC Centre Code :

Contact Personal: Contact Number :

Batch Number: Sector: Course:

Rating 1: Very Dissatisfied 2: Dissatisfied 3: Neutral 4: Satisfied 5: Very Satisfied

Parameter	**Weightage**	**Marks**	**Comments**
Classroom chairs & tables for 30 students	125		
Computer Labs/ Workshop with equipment's	100		
Drinking Water and Washroom facility	75		
Location / Visibility of the centre (Presence in prominent area)	50		
Bio-Metric availability and attendance upload facility via Internet	50		
Lighting and Fan facility in classroom	100		
White/ Black Board size and visibility	75		
No of Trainers according to no of batches	100		
Safety condition and environment of Centre	125		
UPSDM Board and Notices	50		
Dropout rate	50		
Soft Skills training	100		
Overall	**1000**		

Remarks:

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"The highest measure of democracy is neither the 'extent of freedom' nor the 'extent of equality' but rather the highest measure of participation."

- A.D. Benoist

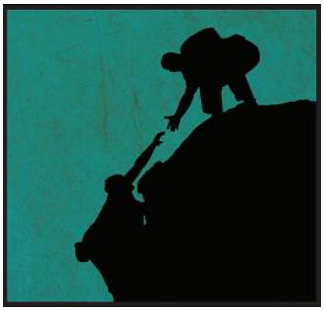
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