

Government of the People's Republic of Bangladesh  
Finance Division, Ministry of Finance  
**Skills for Employment Investment Program (SEIP)**  
ProbashiKalyanBhaban (Level-16)  
71-72 Old Road, Eskaton Garden, Dhaka-1000  
[www.seip-fd.gov.bd](http://www.seip-fd.gov.bd)

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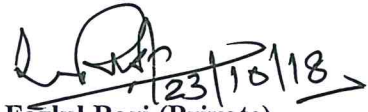
**Circular**

**Subject: Monitoring Guidelines to be followed for implementing the SEIP supported skill development programs.**

Skills for Employment Investment Program (SEIP) Project of Finance Division, Ministry of Finance has been implementing different kinds of training programs to enhance the skills level of the workforces. The programs are being implemented in partnership with various private sector Industry Associations (IAs) and public training institutions (PTIs). Program delivery activities of these institutions are being monitored and reported from the initial stages through different internal and external means and by using separate formats. In order to make this monitoring function more synchronized, effective and result oriented, a consolidated guidelines has been prepared (copy attached).

2. Being directed, the undersigned is requesting all concerned (e.g. Executives, Consultants, Quality Assurance Officers, PIU Staff, PSC members, DPDS etc) to strictly follow the attached Monitoring Guidelines henceforth.

Attachment: **Monitoring Guidelines and Formats.**



**Md. Fazlul Bari (Private)**

Deputy Executive Project Director (DEPD)

Phone: 55318753-55

**Distribution (not according to seniority):**

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2. Chief Coordinator, AEOSIB, Akhtaruzzaman Center, 21/22, Agrabad C/A, Chattogram-4100
3. Director, BITAC, Chattogram; Dhaka
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5. Chief Coordinator, BB-SME, PIC; PKSF, Dhaka
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9. Principal, Feni Computer Institute, Feni
10. Principal, Manikgonj TSC; Narshingdi TSC; Sherpur TSC; Jhalokathi TSC; Barishal TSC; Panchagorh TSC; Rangpur TSC; Habigonj TSC.

**Copy for information (not according to seniority):**

1. Deputy Executive Project Director (all), SEIP Project, Finance Division
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5. P.O. to EPD, SEIP Project, Finance Division
6. Office Copy.

# Guidelines for Monitoring the SEIP Supported Training Activities

## 1. Introduction

Monitoring is one of the most important tools of SEIP project to ensure implementation of quality training in a timely manner. As there are many stakeholders of the project, a uniform and synchronized monitoring system is of paramount importance. This will help to make the overall monitoring activities more effective and result oriented.

## 2. Elements of SEIP Monitoring System

- i) Monitoring training activities at the center/institution level, on a regular manner, critically and objectively;
- ii) Producing monitoring reports within set timelines and dissemination of the reports;
- iii) Ensuring compliance with the findings of the monitoring reports at the earliest through regular follow up actions and delivery of quick decisions; and
- iv) Using experience of the past monitoring reports for future activities.

## 3. Current Monitoring Mechanism of SEIP Project

SEIP currently monitors implementation progress of its skill development training run by the partner associations/institutions at six levels. These are namely monitoring by-

- i) the SDCMU Officials and Consultants;
- ii) Fund Management Team of SDCMU;
- iii) the SDCMU Quality Assurance Officers;
- iv) independent third party monitoring firm;
- v) the Project Implementation Unit (PIU) staff; and
- vi) the Industry Association Members.

## 4. Guidelines for Monitoring

In order to make the existing monitoring system uniform/consistent and more effective, the under-mentioned guidelines will need to be followed by all concerned:

### 4A. Monitoring by the SDCMU Officials and Consultants<sup>1</sup>

- i) SDCMU officials and consultants will preferably make two monitoring visits every month; one outside Dhaka and one within Dhaka or nearby districts (Narayangonj, Gazipur etc);
- ii) Officials and consultants will prepare their visit programs of following month by 20<sup>th</sup> day of each month;
- iii) The visiting officials will prepare their visit reports in the format outlined in **Annex-1**. Each visiting officials will submit report within 5 working days after the visit;
- iv) Visit reports will be sent to all concerned including PIU and concerned training centers for follow up actions and compliance Chief Coordinators will have the primary responsibility to ensure the compliance of observations made in the report and-
  - a. The Chief Coordinators will keep the visiting official(s) and concerned AEPD informed about the compliance status on a regular basis;
  - b. Concerned AEPDs will follow up the implementation and report to respective DEPD;

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<sup>1</sup> Consultants will include TVET Specialists, Course Specialist, Monitoring & Evaluation Specialist, Gender & Social Development Specialist, IT & Database Specialist etc.





## Guidelines for Monitoring the SEIP Supported Training Activities

- c. Findings and compliance status of visit reports to be reviewed in the monthly coordination and quarterly meetings in a summarized form.
- v) Copies of all visit schedules, visit reports and compliance reports will be sent to the M&E Specialist for maintaining sequential records. The M&E Specialist will support the concerned AEPDs in ensuring the compliance and preparing the summary report for the mentioned meetings; and
- vi) The SDCMU officials and consultants will also make surprise visits to training centers and PIUs. In addition, official(s) and consultant(s) can also be sent to visit PIU and training centers whenever the authority considers it necessary.

### **4B. Monitoring by the Financial Management Team of SDCMU**

The Fund Management Team of SDCMU will visit the PIUs of all the Industry Associations at least once in every three months, and PTIs on a random basis-

- i) The focus of these visits will mainly be on financial issues;
- ii) The team(s) will submit report(s) to EPD within 15 days of visits. Copies of such visit(s) will be sent to all concerned including the CC, M&E Specialist and concern AEPD;
- iii) Respective CC will ensure the compliance of the observation(s), if any;
- iv) M&E Specialist, FM unit of SDCMU and concerned AEPD will monitor the implementation progress of such observation(s); and
- v) The reporting format to be used is attached in **Annex-2.**

### **4C. Monitoring by the Quality Assurance Officers**

- i) Quality Assurance Team (QAT) will prepare its monthly visit program in coordination with M&E Specialist and place in file for approval. While preparing this visit program, the team will consult DPDS's visit program to avoid possible overlapping;
- ii) The QAOs will submit their detailed reports in current Quality Assurance Template (**Annex-3**) to EPD within 10 working days of their visit. However, they will prepare brief reports recording only the findings and corresponding on the spot suggestions/actions given/taken by them;
- iii) QAOs will send the brief report to the training centers and Chief Coordinators for compliance by email. Copies of such brief reports will also be sent to M&E Specialist and concerned AEPD for further actions;
- iv) The QAOs will keep on following up the findings until they are finally complied with;
- v) The M&E Specialist will prepare a compliance report reviewing the QAOs (and DPDS's) reports on a monthly basis on compliance status and submit it to EPD for further action;
- vi) QAOs can also be sent to visit and report on special circumstances whenever needed.

### **4D. Monitoring by the Independent Third Party Monitoring Firm**

As per SEIP policy, a third party monitoring firm will regularly monitor the SEIP training activities. DPDS, the currently engaged monitoring firm, is now visiting at least 36 training institutes/ centers every month. Apart from this, approximately 250 job placed graduates are interviewed by them every month for validating the data put by the PIU and/or training providers into TMS (Training Management System). In order to make DPDS monitoring more effective the following measures will be taken:

- i) DPDS will send monthly visit program at least 7 days before the visiting month. While preparing such program, DPDS will avoid repetition of centers/institutes.



## Guidelines for Monitoring the SEIP Supported Training Activities

- ii) The M&E Specialist will review and reconcile the visit program with the visit program of Quality Assurance Team's to avoid overlapping/duplication and arrange sending SEIP's consent by email in coordination DEP (Private 01) and with copies to all concerned;
- iii) DPDS will send monthly and quarterly reports, including an executive summary, to SDCMU;
- iv) Concerned AEPDs will send the findings received from DPDS to the training providers through concerned CC for ensuring compliance. The AEPDs will follow up implementation of findings from time to time. The M&E Specialist will provide necessary support to the AEPDs in this regard;
- v) SDCMU will organize a workshop to review the compliance status after receiving Quarterly Report from DPDS;
- vi) A record note of the workshop will be prepared by the M&E Specialist incorporating the recommendations and decisions. The record note will subsequently be sent to concerned officials of SDCMU/ PIUs/ training centers for implementation and feedback.

### **4E. Monitoring by the PIU Staff**

- i) The Chief Coordinators will make at least two visits and the Monitoring Coordinators will make at least three visits in every month. Other PIU staff will also make visits as per the guidance of CC and consistent with Business Plan;
- ii) The monthly visit program will be sent to concern AEPDs for information;
- iii) The summary findings of the monitoring visit will be sent to the concern AEPDs and the M&E Specialist in seven days after the visits;
- iv) Major findings of PIU staff and corresponding compliance status will be brought to the notice of the Project Standing Committee for necessary guidance by respective CC;
- v) The PIU staff will follow the monitoring template as detailed in Annex-1
- vi) The PIUs will make sure that all training institutes make their self-assessment every year using the Self-Assessment Template (Annex-3).

### **4F. Monitoring by the Industry Association Members**

Standing Committee and Industry Association members are also encouraged to visit SEIP training activities of the respective association. A brief report of such visit(s) may be prepared and discussed in the Standing Committee meeting. A copy of such report with action taken on it may also be sent to SDCMU.

5. The aforementioned guidelines may be reviewed and revised in future, if necessary.

Annex-1: Visit report format for SDCMU officials, consultants and PIU staff

Annex-2: Visit report format for FM team of SDCMU

Annex-3: Visit report format for QAOs and Self-Assessment Template



**Monitoring Report**

**On**

**Skills Training Programs of**

.....

**Date of Visit: .....**

**Submitted by:**

.....

.....

**Monitoring Team**

**Skills Development Coordination and Monitoring Unit (SDCMU), SEIP  
Finance Division, Ministry of Finance**



### 1.00 General Information:

Name of the Training Partner:

Date of the Visit:

Objectives of the Training Monitoring:

Training Institute:

Monitoring Team Members:

### 1.10 Persons Met/Interviewed during the Visit:

Sl.No.	Name	Designation
1.		
2.		
3.		
4.		
5.		
6.		
7.		

### 1.20 Name of Courses with Duration (On going)

Training Courses	Duration

### 1.30 Trainee Information:

Target	Enrolled		Certified		Job Placed	
	T	F	T	F	T	F

## 2.00 Status of the ongoing programs:

\* Some of the questions in the following areas can be avoided where they were found ok during the last time monitoring visit(s).

Particulars	Status	Remarks
<b>A. Institutional Capacity Building</b>		
1. SEIP Standing Committee is set up		
2. Full time core staff recruited		
3. Training venue / room is suitable with adequate space, light, air, sitting arrangement.		
4. Full time center in charge/Principal recruited and available		
<b>B. Training information ,Training Workshops and Theory Class Rooms</b>		
1. Tools and training equipment are available and personal protective devices in line with the training contents provided with proper safeguards		
2. Adequate training materials(consumable supplies) are available for demonstration or practical training to complete the particular course content		
4. Safety procedure explained to the trainees before using training equipment		
5. First aid box available in the training workshop		
6. Fire Alarm, fire extinguisher installed and useable.		
7. Instruction equipment (video, overhead projector etc.) are available for delivery of theoretical training.		
8. Separate rest rooms or toilets are available for female trainees		
<b>C. Course Design &amp; Teaching Learning Process</b>		
1. SEIP course standards are being followed or prepared based on SEIP course format covering OHS, occupation specific knowledge and skills that reflects outcome based learning and endorsed by SEIP Standing committee/ISC		
2. Minimum training contact hours as per Business Plan and ratio of practice and theory 80:20 are being followed.		
3. Teaching materials covering job sheets, Learning materials/handouts, lesson plans and these are prepared based on standards and given to the trainees.		
<b>D. Trainers /Instructors</b>		
1. Qualifications and experience of trainers are available as specified in the business plan		
2. Two trainers are engaged for each course delivery		



3.Number of full time trainers and part time trainers per batch		
4. Trainer focuses on demonstration using appropriate training equipment and consumable supplies (training learning materials) for practical training.		
<b>E. Enrolment of Trainees</b>		
1.Advertisement in the dailies, road show, social networking etc., are done for enrolment of trainees: 1. Quarterly Target achieved? 2. Cumulative Target achieved? 3. Reasons for deviation:		
Advertisement given specifying preference to some social groups: 1.Total enrolled: 2.Female: 3.Ethnic minorities: 4.Physically challenged: 5.Poor and distressed:		
2.Preferences have been given to the poor ,disadvantaged, female, ethnic and physically challenged trainees		
3.Parrticulars of the trainees are recorded as per SEIP admission form and uploaded the data in the trainee tracking system(TTS)		
4.Daily attendance of trainees is maintained properly		
5.Minimum 80% attendance is maintained for payment of stipends /allowances		
6.SEIP trainees are dressed in uniforms/aprons marked with SEIP		
7. Student counseling service available		
<b>F. Examinations and Tests</b>		
1. Industry assessors are identified and available for assessing trainees performance.		
2. Assessment done by assessors to assess practical and theoretical skills achievements		
3. Assessment materials are secure prior to start of assessment		
4. Assessments are documented and uploaded to TTS		
<b>G. Certification</b>		
1. Certification Record Register is maintained and updated.		
2. Drop out records are maintained and reasons are identified.		
<b>H. Job Placement</b>		
1. Job Placement Officer is recruited and working (since.....)		
2. Employers Committee is formed and meeting takes place regularly (number of minutes/decision available)		
3. List of Industries, workshops, business		

centers is prepared, contact / synergy established with them ( mention numbers)		
4. Job Placement Record Register maintained with all necessary information (name, phone no, address, course done with period, joining date of Job, position, salary/wages amount, factory/workshop name and address)		
5.Introduced Internal Monthly Planning and Reporting system; and regular career counseling takes place.		
6.Physically verified 1/2/3 cases of job placement selected randomly		
<b>I. Evaluation and Reporting</b>		
1.System of Internal evaluation of completion of each activity introduced and lesson learned.		
2.TMS is uploaded regularly and updated data available		
3.Reporting are made periodically as per formats included in the contracts/MoUs		

### 3.00 Financial Management and Procurement Issues:

Sl No.	Things to be looked into	Yes	No.	Remarks
1.	Whether separate bank account in the name of SEIP-(Training Provider) has been opened and maintained for SEIP and all payments are made through banking channel			
2.	Whether Budget has been prepared on the basis of training target and send to SDCMU before implementation			
3.	Whether expenditure has been incurred in line with budget item and not exceeded line items			
4.	Whether Bill Register, Cash Book, Ledgers, Vouchers and Fixed Asset Registers are being maintained properly			
5.	Whether instructors and support staff have been paid honorarium before achieving milestone? (Applicable for PTIs)			
6.	Whether stipend has been given to the trainees even if condition of 80% attendance has not been met			
7.	Whether there are undelivered cheques/amount related to stipend			
8.	Whether stipend has been paid through banking channel			
9.	Whether tax has been deducted from guest trainer's honorarium and from other applicable items			



10.	Whether SOE has been prepared appropriately on the basis of SOE format provided by SEIP and submitted to SDCMU regularly			
11.	Whether total expenditure of the SEIP has been reconciled with concerned CAO/DAO/UAO and supporting vouchers exist. (Applicable for PTIs)			
12.	Whether total expenditure of the SEIP has been reconciled with bank account and supporting vouchers exist			
13.	Whether all procurements have been done following ADB guidelines as well as PPR, 2008.			
14.	Whether monitoring log/Register is being maintained. (Applicable for IAs only)			
15.	Whether visitor register is being maintained.			

#### 4.00. Observations/ Findings:

#### 5.00. Recommendations:

Name of Team member .....

Designation.....

Name of Team member.....

Designation.....

Annex-2: Visit report format for FM team of SDCMU (Private)

**Monitoring Check List on Financial Management Issues of Industry Associations under SDCMU/SEIP**

**Name of Industry Association :** .....

**Date of Visit**.....**Consecutive Visit Number**.....

**1. Status of Delegation of Financial Power:**

**1.1 Name of Persons along with their Financial Power as delineated in the Constitution/Finance Manual of the Association:**

Name	Designation	Limit in Amount

NB: Enclose copy of the relevant page of the Constitution/Finance Manual, in case of any amendment thereon copy of resolution/minutes.

**1.2 Whether the Bank Account is opened in the name of SEIP and operated jointly, please tick: Yes/No**  
If No, explain the reason.....

**1.3 Name of authorized signatories of Bank Account along with the Limit, in case of joint signature, please mention the combination:**

Name	Designation	Limit in Amount

NB: Enclose copy of the relevant page of the Constitution/Finance Manual, in case of any amendment thereon copy of resolution/minutes.

**1.4 Payment vouchers are prepared, checked and approved by separate designated persons: Yes / No**  
If No, please explain the reason.

**1.5 Whether the Coordinator Finance & Procurement and related Finance Personnel is appointed: Yes / No**  
Please mention their name, designation and date of appointment:

Name:                                      Designation:                                      Date of Appointment:

**1.6 Whether the industry Association has a training policy for its Financial Management staff: Yes/No**  
If yes, please state when they receive training, from where and on what.



**2. Maintenance of Accounts and Books of Account: (In all cases if no, explain why)**

- 2.1 Whether the accounts of the Project is maintained manually under double entry accounting system following the accrual method of accounting along with required books of account as mentioned in FM manual: Yes/No  
If No, states the deviations.
- 2.2 If they have any plan for introducing automated accounting system / software: Yes / No  
If Yes, states the time frame and if already in use mention the name of software.
- 2.3 Whether a separate bank account is opened and maintained for the SEIP Project: Yes / No  
If yes, please mention:  
Name of Bank: Name of Branch: Account Number:
- 2.4 Whether all project related payments are made through banking channel/crossed check except for petty cash expenses. Yes / No
- 2.5 Whether Double Column Cash Book is maintained and transactions are recorded daily: Yes / No
- 2.6 Whether they maintained any petty cash and book: Yes/No
- 2.7 Whether the Cash Book/Petty cash book is balanced and authenticated on regular basis: Yes / No
- 2.8 Whether the general ledger and ledgers for direct and indirect expenditure are maintained and posted regularly: Yes / No
- 2.9 Whether Debit/Credit Vouchers with chronological numerical number and date along with its supporting documents-evidence, etc., are maintained: Yes / No
- 2.10 Whether Fixed Assets Register is maintained and up-dated regularly: Yes / No
- 2.11 Whether the Assets are marked with "SEIP-Association & identical number": Yes / No
- 2.12 Whether Fixed Assets Movement Register is maintained (Internal movement): Yes / No
- 2.13 Whether Consumable Stocks/Stores Register is maintained and up-dated regularly: Yes / No
- 2.14 Whether Stocks/Stores Requisition Slips are maintained: Yes / No
- 2.15 Whether Payroll Register along with Staff Attendance Register is maintained: Yes / No
- 2.16 Whether advance control register is maintained: Yes/No

- 2.17 Whether fund demand control / milestone claim register is maintained: Yes/ No
- 2.18 Whether Bank Cheque issue Register is maintained: Yes / No
- 2.19 Whether Note File for approval, etc., is maintained: Yes / No
- 3. Authority and Payment Procedures: (In all cases if no, explain why)**
- 3.1 Whether the financial power/authority is followed in case of authorizing purchase: Yes / No
- 3.2 Whether the financial power /authority is followed in case of approving expenditure: Yes / No
- 3.3 Whether the financial power / authority is followed in case of making payments: Yes / No
- 3.4 Whether the functional responsibilities for recording of transactions, receiving of goods, custody of Assets, etc., are well segregated: Yes / No
- 3.5 Whether the rules and regulations of the Public Procurement Act, 2006 and PublicProcurement Rules, 2008 and time to time amendments made thereon by theGovernment are followed in case of all procurementsof the Project any procurement has already been made under SEIP: Yes / No
- 3.6 Whether purchase / tender evaluation committee is formed, acted accordingly and any change is made: Yes / No  
The copy for relevant proof and if any change is made the documents to be obtained.
- 3.7 Whether the Income Tax and VAT in applicable cases are deducted from suppliers' bills and staff salary following the Income Tax Ordinance, 1984 and VAT Act, 1991. Yes / No
- 3.8 Whether the deducted Tax & VAT are deposited timely to the Government Exchequer: Yes / No
- 3.9 Whether the copy Tax and VAT challans are provided to the parties: Yes / No
- 3.10 Whether the staff and trainer salary as well as trainees stipendis paid through banking channel / crossed cheque: Yes / No

**4. Reporting Requirements: (In all cases if no, explain why)**

- 4.1 Whether the Monthly, Quarterly, Half-Yearly and Yearly Statement of Expenditure (SoE), i.e., Statement of Receipt and Utilization of Fund (along with Association's contribution, if any) in the prescribed Format is prepared and submitted to SDCMU in time: Yes / No
- 4.2 Whether the Monthly Bank Reconciliation Statement in the prescribed Format is prepared and submit to SDCMU along with copy of the Bank Statement: Yes / No
- 4.3 Whether the periodic Milestone Claim/Adjustment Statement in the prescribed Format is prepared and submitted immediately to SDCMU/SEIP: Yes / No
- 4.4 Whether the Annual Financial Statements (Balance Sheet, Income Statement, Cash Flow Statement, and Notes to Financial Statements) in the prescribed Format is prepared within one Month of the closing of the year for facilitating audits, etc: Yes / No

**5. Inventory and Physical Verification: (In all cases if no, explain why)**

- 5.1 Whether a Committee is formed for conducting physical verification of fixed assets: Yes / No  
If yes, proof to be documented with any change.
- 5.2 Whether a Committee is formed for conducting physical verification of stock of stores: Yes / No  
If yes, proof to be documented with any change.
- 5.3 Whether periodical (at 6 months interval) inventory / physical verification of fixed assets is conducted by the Committee and prepared a physical verification report: Yes / No
- 5.4 Whether periodical (at 3 months interval) inventory / physical verification of stock of stores is conducted by the Committee and prepared a physical verification report: Yes / No

**6. Physical checking of training and trainees:**

- 6.1 The ongoing training to be checked and following information to be recorded:

Name of Course with Batch No.	Trainees Enrolled	Trainees as per Attendance	Trainees Found
1.			
2.			
3.			



7. Follow-up of on previous visit, if any:

7.1

7.2

7.3

8. Visit observations and recommendations:

**Monitoring Visit Checklist on Financial Management Issues of Public Training Institution (PTI) under SDCMU/SEIP**

**Name of Public Training Institution (PTI) : .....**

**Date of Visit:.....Consecutive Visit Number: .....**

Members of Visit Team: 1. ....

2. ....

**1. Status of Delegation of Financial Power:**

1.1 Name of Persons along with their Financial Power as per GoB Delegation of Financial Power:

Name	Designation	Limit in Amount

1.2 Whether the Bank Account is opened for SEIP and operated exclusively for SEIP, please tick: Yes/No

1.3 Name of authorized signatories of Bank Account along with the Limit, in case of joint signature, please mention the combination:

Name	Designation	Limit in Amount

1.4 Payment vouchers are prepared, checked and approved by separate designated persons: Yes/No  
If No, please explain the reason.

1.5 Whether the accounts and related personnel are in place: Yes/No

Please mention their name, designation and date of appointment:

Name:                      Designation:      Date of Appointment:      Training Status:

1.6 Whether there is any training policy for its Financial Management staff: Yes/No  
If yes, explain

**2. Maintenance of Accounts and Books of Account: (In all cases if no, explain why)**

2.1 Whether the accounts are maintained on cash basis following the GoB accounting system. Yes/No  
If No, state the deviations.

2.2 Whether advance tracking module in IBAS is introduced and operated for training advance: Yes/No  
If Yes, state the time frame and status.

2.3 Whether a separate bank account is opened and maintained for the SEIP Project: Yes/No  
If yes, please mention:

Name of Bank:

Name of Branch:

Account Number:

- 2.4 Whether all project related payments are made through banking channel/crossed check except for petty cash expenses. **Yes/No**
- 2.5 Whether GoB prescribed Cash Book is maintained and transactions are recorded regularly: **Yes/ No**
- 2.6 Whether they maintained any petty cash and book: **Yes/No**
- 2.7 Whether the Cash Book/Petty cash book is balanced and authenticated on regular basis: **Yes/No**
- 2.8 Whether the general ledger and ledgers for training expenditure are maintained and posted regularly: **Yes/No**
- 2.9 Whether Vouchers with chronological numerical number and date along with its supporting-documents-evidence, etc., are maintained: **Yes/No**
- 2.10 Whether Fixed Assets Register is maintained and up-dated regularly: **Yes/No**
- 2.11 Whether the Assets are marked with "SEIP-Institution & identical number": **Yes/No**
- 2.12 Whether Fixed Assets Movement Register is maintained (Internal movement): **Yes/No**
- 2.13 Whether Consumable Stocks/Stores Register is maintained and up-dated regularly: **Yes/No**
- 2.14 Whether Stocks/Stores Requisition Slips are maintained: **Yes/No**
- 2.15 Whether Payroll Register along with Staff Attendance Register is maintained: **Yes /No**
- 2.16 Whether advance control register is maintained: for travelling advance only **Yes/No**
- 2.17 Whether fund demand control / milestone claim register is maintained: **Yes/No**
- 2.18 Whether Bank Cheque issue Register is maintained: **Yes/No**
- 2.19 Whether Note File for approval, etc., is maintained: **Yes/No**
- 3. Authority and Payment Procedures: (In all cases if no, explain why)**
- 3.1 Whether the financial power/authority is followed in case of authorizing purchase: **Yes/No**
- 3.2 Whether the financial power /authority is followed in case of approving expenditure: **Yes/No**
- 3.3 Whether the financial power / authority is followed in case of making payments: **Yes/No**



- 3.4 Whether the functional responsibilities for recording of transactions, receiving of goods, custody of Assets, etc., are well segregated: **Yes/No**
- 3.5 Whether the rules and regulations of the Public Procurement Act, 2006 and Public Procurement Rules, 2008 and time to time amendments made thereon by the Government are followed in case of all procurements of the Project and any procurement has already been made under SEIP: **Yes/No**
- 3.6 Whether purchase/tender evaluation committee is formed, acted accordingly and any change is made: **Yes/No**
- 3.7 Whether the Income Tax and VAT in applicable cases are deducted from suppliers' bills and staff salary following the Income Tax Ordinance, 1984 and VAT Act, 1991. **Yes/No**
- 3.8 Whether the deducted Tax & VAT are deposited timely to the Government Exchequer: **Yes/No**
- 3.9 Whether the copy Tax and VAT challans are provided to the parties: **Yes/No**
- 3.10 Whether the staff and trainer salary as well as trainees stipend is paid through banking channel / crossed cheque / mobile banking / b-cash: **Yes/No**
- 4. Reporting Requirements: (In all cases if no, explain why)**
- 4.1 Whether the Monthly, Quarterly, Half-Yearly and Yearly Statement of Expenditure (SoE), i.e., Statement of Receipt and Utilization of Fund in the prescribed Format is prepared and submitted to SDCMU in time: **Yes/No**
- 4.2 Whether the Monthly Bank Reconciliation Statement in the prescribed Format is prepared and submit to SDCMU along with copy of the Bank Statement: **Yes/No**
- 4.3 Whether the periodic Milestone Claim/Adjustment Statement in the prescribed Format is prepared and submitted immediately to SDCMU/SEIP: **Yes/No**
- 4.4 Whether the Annual Financial Statements (Balance Sheet, Income Statement, Cash Flow Statement, and Notes to Financial Statements) in the prescribed Format is prepared within one Month of the closing of the year for facilitating audits, etc: **yes/No**
- 5. Inventory and Physical Verification: (In all cases if no, explain why)**
- 5.1 Whether a Committee is formed for conducting physical verification of fixed assets: **Yes/No**  
If yes, proof to be documented with any change.

5.2 Whether a Committee is formed for conducting physical verification of stock of stores: Yes/No  
If yes, proof to be documented with any change.

5.3 Whether periodical (at 6 months interval) inventory / physical verification of fixed assets is conducted by the Committee and prepared a physical verification report: **Yes/No**

5.4 Whether periodical (at 3 months interval) inventory / physical verification of stock of stores is conducted by the Committee and prepared a physical verification report: Yes/No

**6. Physical checking of training and trainees:**

6.1 The attendance of trainees of ongoing training courses is checked on ..... and found as follows:

Sl. No.	Name of Course	Trainees Enrolled	Trainees as per attendance	Trainees found physically
1	Electrical, Batch - 1			
2	Electrical, Batch - 2			
3	Mason, Batch - 1			
4	Plumbing & Pipe Fitting, Batch - 1			
5	Plumbing & Pipe Fitting, Batch - 2			
6	Graphics Design, Batch – 1			

**7. Follow-up on previous visit, if any:**

This was the first visit.

**8. Visit observations and recommendations:**

**9. Persons meet:**

Signature  
(Name and Designation of the Visitor)  
SEIP Project, Finance Division.

# Training Provider Appraisal Report

**Name of Training  
Provider**

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**Address of Training  
Provider  
phone – fax – email**

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**Date of Appraisal  
Visit**

**from**  
day/month/year

**to**  
day/month/year

**Name &  
Designation  
of Appraiser**

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## 1. LEGAL STRUCTURE, PURPOSE AND GOVERNANCE

Sl.	QUALITY CRITERIA	EVIDENCE
	<ul style="list-style-type: none"><li>-Registration as a company/ institution/ NGO/ Center etc are available</li><li>- Mission, Vision and objectives are described</li><li>- Organogram is available</li><li>- Executive committee/ Board of governance/ Board of trustees/ Employers' committee are formed (if applicable)</li></ul>	<ul style="list-style-type: none"><li>- Certification of incorporation/ Trade license/ accreditation from competent authority/ NGO registration etc</li><li>- Constitution/ Statements of mission, vision and objectives</li><li>- Organogram</li><li>- List of committee members and minutes of meeting</li></ul>

## 2. QUALITY MANAGEMENT SYSTEM

(The training provider has a quality management system in place or is committed to implement quality standards and procedures set by SEIP.)

Sl.	QUALITY CRITERIA	EVIDENCE
	<ul style="list-style-type: none"><li>- Process describing training provider quality management system is available</li><li>- Self-assessment report following SEIP quality assurance framework is available</li></ul>	<ul style="list-style-type: none"><li>- Written procedures of quality management system/ flow chart of work process</li><li>- Self-assessment report</li></ul>

## 3. BUDGETING

(The training provider has drawn up a plan spelling out detailed requirements of training program implementation and especially resource and budgetary requirements)

Sl.	QUALITY CRITERIA	EVIDENCE
1.	<ul style="list-style-type: none"><li>- Business plan/ MoU for outsourcing describing details of each training program offered under SEIP.</li><li>- Number of trainees and resource requirements by training programme to be offered are available</li></ul>	<ul style="list-style-type: none"><li>- Business plan/ MoU</li><li>- Batch-wise required resources- like tools equipment, training materials</li><li>- approved budget by competent authority</li></ul>

#### 4. PROCUREMENT

(The training provider procures training materials and other items in accordance with the PPA-2006, PPR-2008 and has setup a monitoring system to ensure effective use of materials)

Sl	QUALITY CRITERIA	EVIDENCE
1.	Preventive maintenance is carried out regularly (schedule and records)	Preventive Maintenance schedule for all the equipment installed in the centre are maintained
2.	Daily consumption registers by user sections and workshops	Register for consumables used on daily basis is maintained
3.	Tools and Equipment provided by SEIP are being used in training	Tools and equipment provided by SEIP are used in training

#### 5. SELECTION AND ENROLMENT OF TRAINEES

(The training provider follows selection and enrolment procedures described in the SEIP Quality Assurance Framework)

Sl.	QUALITY CRITERIA	EVIDENCE
1.	Applicants were informed about training objectives, outputs and schedule, as well as topics and methods applied during training.	Advertisement or flyer indicates the training objectives, outputs etc, besides, at the beginning of training program, trainer informs trainees about the objective, outputs and schedule of training( trainees feedback and copy of flyer)
2.	Selection and enrolment is properly done (list of applicants and trainees admitted, waiting lists, interview protocols, admission test results)	List of applicants and trainees admitted, waiting lists are recorded and maintained and available with the centre( trainees list)
3.	Admission test procedures and results are recorded and archived	Admission test procedures and results are recorded and available ( result sheet attached)
4.	Selection and enrolment of trainees are following the principles of equal opportunity	Admission test procedures and results are recorded and available ( result sheet attached)
5.	Selection and enrolment promote and give preference to application of female candidates and candidates from indigenous and ethnic communities, socially disadvantaged and people with special needs	List of applicants and trainees admitted aggregated by gender and candidates from indigenous and ethnic communities, socially disadvantaged and people with special needs are available( list attached)
6.	admission form of each trainee and records in the TMS	Admission records, records are available in TMS
7.	Admitted trainees fulfil minimum entry requirements	List of trainees(course-wise) with entry level qualification and experience are recorded, maintained and available with the centre (Sample attached)
8.	Complains procedures for failed/rejected applicants are in place.	Written complains procedures (attached)



## 6. JOB PLACEMENT AND EMPLOYMENT SUPPORT

The training provider has adequate and appropriate job placement or employment support procedures

Sl.	QUALITY CRITERIA	EVIDENCE
1.	Job profiles and vacancies in industry available	Job placement officer collected job profiles and vacancies for graduates and all the vacancy advertisement are recorded and maintained with Job placement unit (List of actual job vacancies)
2.	Job placement or employment support unit has been formed (list of members)	Job placement officer is recruited and engaged to liaise with employers (List of members, appointment letter)
3.	Employers' committee has been set-up and regular committee meetings take place [applicable for PTIs]	Employers' committee formed, List of committee members, notice for meetings and record notes of meeting are available with the centre (latest sample attached)
4.	Placement records in training provider archive and TMS	Placement records since beginning of SEIP program are recorded and maintained with the centre and in parallel, all the job placement records are uploaded in TMS
5.	Evidence of job placements such appointment letter, statement of engagement by employers are recorded	Placement records are maintained with the centre (latest sample attached)

## 7. SELF ASSESSMENT AND IMPROVEMENT PROCESS

Sl.	QUALITY CRITERIA	EVIDENCE
1	management is actively committed to and involved in the self-assessment process	-A team for Self-assessment is formed (member list and circular with a Guideline attached)  - self-assessment report delivered on time (annually at a fixed date by SEIP)  - improvement plan is implemented (list of measures/action taken provided in self-assessment report)
2	a clear policy on self-assessment is communicated to all relevant staff	Guideline for self-assessment is circulated
3	all aspects of the SEIP quality assurance matrix for training providers are subject to self-assessment	- All aspects of quality assurance matrix are covered in self-assessment report
4	procedures are established to address non-compliance and implement corrective measures	- Guideline shared to address non-compliance ( document attached)
5	improvement plans address all of the identified weaknesses, including those not completed from the previous cycle	Improvement plan showing weaknesses and proposed action (attached)
6	the self-assessment report is approved and endorsed by management	Self-assessment report signed by training institution management
7	all staff and stakeholders receive information and feedback on the outcomes of the self-assessment process and improvement plan	Circular to relevant staff countersigned ( attached)
8	improvement plans include clearly defined targets, priorities, tasks, responsibilities, and timescales; they are properly costed and resourced; and success criteria are specific, measurable and achievable	Improvement plan attached
9	the implementation of action plans, improvements and corrective measures is monitored, evaluated and modifications are made accordingly	Corrective measures on the improvement plan (if taken, document attached)



10	external auditors evaluate the quality achieved by the training provider;	Auditor report/ SEIP compliance report received( document attached to self-assessment report )
11	actions identified by external auditors/SEIP monitoring reports are disseminated to appropriate staff and corrective measures are implemented	Action taken based on the reports (list of measures/action taken provided in self-assessment report)

## 8. SELECTION OF TRAINING PROGRAMMES

The training provider offers training programmes that are employment relevant

Sl.	QUALITY CRITERIA	EVIDENCE
1.	The training programme leads to employment (Placement statistics)	Placement record shows the employability of the programs the centre offers. Placement records are available with the centre (copy attached).

## 9. STANDARDS, LEARNING MATERIALS AND ASSESSMENT TOOLS

The training provider offers courses based on competency standards or modular course outlines with learning materials and assessment tools available

Sl.	QUALITY CRITERIA	EVIDENCE
1.	Competency-based training standards or modular course outlines and learning materials and assessment tools are available and used	Standards and course outlines are available with the centre (list of standards and courses implemented for SEIP)
2.	Modular course outlines are revised and updated once a year following the rules provided for in the QAF (Not relevant for training offered under BMET, DTE/public institutions)	Course review results and members of course review
3.	The length of the training programme is reviewed with regards to achievement of learners and competencies stated in the competency standard or modular course outline	Length of program were reviewed and current length of program(duration) is enough to cover all the units of competency outlined in the competency standardsResults of course review (lesson plan, time needed for each competency or unit, formative and summative assessment results)
4.	learning material covers all topics provided in the occupational specific knowledge and occupational specific skills stated in each unit of competency of the modular course outline.	Learning materials developed by the centre covers the all the units of competency specified in standards. (Provide list of contents in case of new learning materials)
5.	Assessment tools provide all checklist needed for each unit of competency and shall cover all requirement of competencies for the targeted occupations in the job market stated in the modular course outline.	Tools such Demonstration checklist, Observation checklist, question checklist are used and adequate to assess trainees' performance (provide sample in case of new courses)

## 10. TRAINING DELIVERY SYSTEM – TRAINERS

The training providers ensures training staff according the requirements of training programmes offered

Sl.	QUALITY CRITERIA	EVIDENCE
1.	skills and qualifications of trainers including guest trainers match the requirements of the training	
	a) Professional education/training prior to becoming a trainer	- List of trainers with qualifications and experiences are available with the centre (attached)
	b) Working experience in teaching/training	- List of trainers with qualifications and experiences are available with the centre

		(attached)
	c) Working experience in industry, especially related to the subject of teaching	- List of trainers with qualifications and experiences are available with the centre (attached)
	d) Further training in skills/pedagogy from SEIP and outside received	- Title of training, duration and others are mentioned in the list of trainers who received training and this list is available (attached)
	e) Exhibits mastery of skills and theoretical knowledge in training	- Observation and assessment results of trainees and annual appraisal
2.	Appropriate teaching staff is maintained through recruitment, appraisal and staff development	Number of trainers with qualification per course and training received from SEIP and outside SEIP are maintained, Appraisal record, training need analysis, training records
3.	while recruiting guest trainers, preference is given to people with related industry experience in the area of training	Documents of selection process, industry experience of candidates are maintained (attached)
4.	Recruitment process is transparent and documented for verifications	Documentation of selection process available, required qualification stated and criteria for selection of candidate documented (attached)
5.	Principles of equal opportunity are applied during the recruitment process	Documentation of selection process available (advertisement is inclusive and not gender-biased) are available (attached)

## 11. TRAINING DELIVERY SYSTEM – Physical Resources

The training provider provides and maintains physical resource and OHS requirements as required by the training programmes offered

Sl.	QUALITY CRITERIA	EVIDENCE
1.	<b>physical resources (including OHS requirements) are appropriate for the training programme(s) offered</b> <b>Safety &amp; PPE symbols are displayed in the class room/workshop</b>	
a)	Room sizes of class room, workshop or training space are sufficient	- Room size and workshop space for each of the SEIP course are mentioned in the annex (provide layout)
b)	Ventilation and light in class room and workshop are sufficient	- Ventilation and light in class room and workshop are sufficient( picture attached)
c)	Safety and fire prevention equipment available and in working conditions	- Air-conditioning in the class room/ workshop (where necessary) is properly made and functioning well - fire extinguishers, date of last examination, first aid kits are available with centre. (state date of last examination) - List of available Personal Protective Equipment (or enumerate available PPE) is attached - PPE symbols are displayed in the class room/workshop (photos)
d)	Utilities (electricity, water, gas, compressed air) needed for training are available in the workshop	- Utilities (electricity, water, gas, compressed air) for training are available in the workshop(included in layout plan)



e)	Training equipment, machinery and tools are sufficient and in line with requirements of competency standard taught.	- Training equipment, machinery and tools are sufficient and in line with requirements of competency standard(list attached).
f)	Training materials (consumable supplies) are available and sufficient	-List of consumables purchased and list of consumables used per course

Sl.	QUALITY CRITERIA	EVIDENCE
2.	List of physical resources (including OHS resources) required for implementation of training programme is available	Yes/No if yes, attach list
3.	list of actual physical resources (including OHS requirements) is available	Yes/No if yes, attach list
4.	maintenance schedule and maintenance records (including OHS equipment) are available	Yes/No if yes, attach list
5.	Replacement records for damaged/broken equipment (including OHS equipment), tools and machinery are available	Yes/No if yes, attach list

## 12. TRAINING DELIVERY SYSTEM – Training & Learning Approach

The training provider manages the quality of delivery to meet the requirements of training programmes and the needs of trainees

Sl.	QUALITY CRITERIA	EVIDENCE
1.	appropriate teaching/learning approaches to meet the learning needs of trainees.	
a)	Training delivery is learner-centred and accommodates individual learning needs	- Observation- Training delivery is learner-centred and accommodates individual learning needs (Observation report, with examples)
b)	Formative assessment is performed to check whether learners achieving learning outcomes	-Formative assessment is performed ( assessment report attached)
c)	Maintain sequencing of learning provision outlined in Competency Standards	- sequencing of learning provision is reviewed and found okay( Lesson plan in accordance with CS)
2.	OHS and soft skills are delivered in line with the requirements	- -OHS and soft skills are delivered in line with the requirements- (Observation report, with examples)
3.	proposed ratio of 80:20 of practise to theory training is observed	- -lesson plan, job sheet indicate trainers maintain the ratio, (Observation report, with examples) - <b>trainees feedback/evaluation of trainer</b>
4.	Training time is appropriate for the target group	- <b>trainees feedback/evaluation of trainer</b>

## 13. ASSESSMENT AND CERTIFICATION (full appraisal)



The training providers ensures training staff according the requirements of training programmes offered

Sl.	QUALITY CRITERIA	EVIDENCE
1	trainees are informed of the procedures of assessment, appeals of assessment results and procedures for reassessments	Trainees' feed back - written reassessment procedures
2.	assessment methods are appropriate, fair, manageable, and integrated with work or training	Trainees' feedback, lesson plan and assessment samples
3.	assessment includes aspects of OHS	Trainees' feed back
4.	Assessment Guide and Assessment Tools are available and practiced in training assessment	Assessment Guide and Assessment Tools are available
5.	Records of tests or unit based assessment results are available	Results of formative assessments are recorded and maintained
6.	trainees' final assessment work, and records of final assessment result and overall assessment result are available	Records of summative assessment are maintained (attached)
7.	selected assessors are accredited by the BTEB, national accreditation authority, standing committee, or fulfil minimum criteria set by the SDCMU	Course-wise assessors list is attached
8.	Certification records are available	Certification records are maintained (attached by course and batch)

### COMPONENT-WISE STRENGTHS & WEAKNESSES

Sl.	Component	Strengths	Weaknesses
1.	Legal Structure, Purpose and Governance		
2.	Quality Management System		
3.	Budgeting		
4.	Procurement		
5.	Selection and Enrolment of Trainees		
6.	Job Placement or Employment Support		
7.	Self-Assessment and Improvement Process		
8.	Selection of Training Programmes		
9.	Standards, Learning Material and Assessment Tools		

10.	<b>Trainers</b>		
11.	<b>Physical Resources</b>		
12.	<b>Training &amp; Learning Approach</b>		
13.	<b>Assessment and Certification</b>		

### OVERALL COMMENTS ON THE APPRAISAL