FIELD MONITORING GUIDELINE

Employment Fund Secretariat
HELVETAS Swiss Intercooperation Nepal

Kathmandu, Nepal

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Abbreviations

ADB	Asian Development Bank
AN	Alliance Nepal
CO	Central Office
CP	Contracting Partner
CTEVT	Council of Technical Education and Vocational Training
DAG	Disadvantaged Group
DFID	U.K. Department for International Development
EF	Employment Fund
EFS	Employment Fund Secretariat
EFSSC	Employment Fund Secretariat Steering Committee
EIG	Education for Income Generation
EPP	Employment Placement Plan
FO	Field Office
FTO	Field Technical Officer
GE	Gainful Employment
HQs	Headquarters
ILO	International Labor Organization
IV	Income Verification
JP	Job Placement
JV	Judgmental Variance
LC	Local Coordinator
LF	Local Facilitator
Ltd.	Limited
M&E	Monitoring and Evaluation
MED	Monitoring and Evaluation Department
MO	Monitoring Officer
MoE	Ministry of Education
NGO	Non-Governmental Organization
NPC	National Planning Commission
NSTB	National Skill Test Board
OJT	On-the-Job Training
PO	Partner Organization
PSA	Psycho-Social Approach
Pvt.	Private Sector
RC	Regional Coordinator
RMA	Rapid Market Assessment
SDC	Swiss Agency for Development and Cooperation
SLC	School Leaving Certificate
SMS	Standardized Monitoring System
SN	Skill Nepal
T&E	Training and Employment Service Provider
TEVT	Technical Education and Vocational Training
TL	Team Leader
TME	Training Manager and Employment Service Provider
TM	Training Manager
TO	Training Officer
ToR	Terms of Reference
ToT	Training of Trainers
TTP	Technical Training Provider
USAID	United States Agency for International Development
WB	World Bank

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I. INTRODUCTION

Helvetas has been implementing multi-donor funded projects for the past many years. The Employment Fund is one of such initiatives implemented for the past few years. It was initially supported by SDC, which was later joined by DFID in 2008 and the World Bank in 2010.

The project has been providing financial support to the private sector training service providers (referred as T&Es hereafter) for job oriented short term technical skill training and ensuring the employment of the skill graduates. Technical services are also provided to enhance capacities of the selected T&Es in the implementation of skills development training services leading towards objective of linking placement of the training graduates with gainful employment. The EFS is currently working with over 30 T&Es under the following partnership modalities.

The project activities of Employment Fund are guided by a Steering Committee at the apex level. It is a policy making body chaired by the Ministry of Education and represented by other stakeholders including the donors as members.

EFS emphasize quality vocational training leading towards gainful employment of the unemployed youths. Priority is assigned to the youths, who belong to the communities of Dalits, Janajatis and other ethnic minorities and are poor.

The support of EFS is different from other projects in that it promotes the concept of "outcome-based financing". It means that the T&Es working in partnership with the EFS are entitled to collect their training incentives, only after they provide evidence on the employment of training graduate for at least 6 months. It is also required that such employment should ensure gainful employment to count the success rate. This is a challenging task for all T&Es because of its pioneering nature in Nepal's history. To prove that it is a viable concept in the country's working environment, regular monitoring of employment and income is required. The gainful employment can be accomplished through the delivery of better quality of training services related to the demand of job markets.

1.1 Current Monitoring Systems being followed by T&Es and EFS

The EFS and T&Es monitor implemented activities. They have their respective monitoring systems. The field monitors based at the field and central levels are actively involved in the monitoring tasks.

A rough estimate made by the study[1] conducted for SDC in September 2010 indicates spending of 15 - 20 percent of the total budget for monitoring by the T&Es. Similarly, the EFS spend around 35 to 40 percent staff time for the monitoring of implemented projects. The study also revealed duplications in the monitoring practices being followed by the T&Es and EFS.

The monitoring systems of T&Es and EFS have their own respective strengths and weaknesses. Currently, both T&Es and EFS are involved in monitoring the training process as well as results of the implemented activities. As a result, there were some role overlaps.

[1] Incentives, Results Measurement and Reporting Systems of the Employment Fund and its Partners - A Study Conducted for SDC in September 2010

To ensure efficiency and effectiveness in the monitoring of activities implemented under the EFS a study held through SDC in September 2010 recommended establishment of harmonized database for common use of T&Es and EFS. It also suggested EFS to monitor the training process through occasional spot-checks of the sampled training courses (unless a purposive visit is demanded on special cases) but concentrate more on the verification of outputs and outcomes (i.e. the verification of employment and incomes).

One of the challenges of current monitoring system is to make it pragmatic, efficient and effective. It should generate adequate information on the quality of training services being provided and the achievements made on gainful employment. A harmonized database recommended by SDC between the T&Es and EFS is considered useful in this regard. As the proposed system will be Web-based, the information uploaded by the T&Es on the preparations and delivery of training services leading to the successful employment and income rates thereafter will be instantly available for analysis. As this system allows the use of information simultaneously by both T&Es and EFS for their respective analysis needs, it contributes to enhance efficiency as well as effectiveness.

1.2 Why this Monitoring Guideline?

As discussed earlier, current monitoring work of the T&Es and EFS overlap. Data is physically entered and re-entered at different levels. The data is physically transported from one place to another, which is one of the reasons for delay in obtaining information about progress status progress at different points of time. In order to cut the process short and also to enhance efficiency and effectiveness of interrelated monitoring systems of the T&Es and EFS, the need for a harmonized database system has been recognized for facilitating e the monitoring process.

The monitoring guideline is strongly linked with the on-line database in reflecting transparent mechanisms for demonstrating envisaged achievements of outputs and outcomes. It contributed to ensure efficient and effective use of the public funds administered by EFS. Along this line, the objective of preparing this guideline has remained to strengthen support for “outcome-based financing”. In specific terms, it expects to enhance efficiency and effectiveness on the following:

- Delivery of quality training services (through mobilization of the private sector T&Es);
- Employability of training graduates (after the completion of training);
- Responsiveness of the implemented training activities (with an ultimate goal of achieving gainful employment);
- Institutional capacity development of EFS and T&Es;
- Identification of strengths and weaknesses of implemented programmes;
- Improvement of management processes (with feedbacks obtained on the implemented activities);
- Understanding of changing labour market situations (in relation to the training services being offered);
- Identification of best replicable practices and procedures;
- Learning ways of enhancing better performance (for enhancing training-employment linkages);

- Sharing of authentic information (from the right source as well as on time for informed decision making); and
- Taking timely actions to control deviations or failures (of the contracted training and employment services).

The guideline attempts to maintain strong interrelationship between T&Es and EFS with regard to information to be fed and analyzed into the system. As the EFS's monitoring role is heavily dependent on the information provided by the T&Es (on pre-training arrangements, delivery of training and their results on employment and income of the graduates), keeping such interrelationship intact has been considered necessary for process compliances and progress made on the implemented activities. This guideline will facilitate use of common norms and practices encompassing different stages of training and their subsequent results.

When monitored, which implemented activity requires corrective measures is known. The implementation of such corrective measures becomes necessary as they contribute to take forward the activity consequences closer to the realities of desired outcomes. In this perspective, monitoring serves the purpose of project management and planning. It serves as a management tool by helping control of deviations, if any, while it also serves as a planning tool, when it contributes to draw lessons to be applied for the forthcoming plans.

Monitoring makes the project operation inter-connected. It helps to understand emerging issues and makes the transactions transparent. It leads to establish link of the training products with gainful employment more strongly.

1.3 Methods Followed for Preparation of Validation of the Guidelines

For the preparation of monitoring guidelines, the first task accomplished was the review of prevailing systems and practices being followed for database and monitoring by the EFS and its working partners (i.e. T&Es). Such review contributed to the identification of various strengths and weaknesses of the ongoing systems and also the opportunities for their improvements. As an improvement to the ongoing process, a Web-based harmonized database structure was envisaged, as it could contribute to enhance both efficiency and effectiveness in the use of interrelated data sets for monitoring. Accordingly, the database templates were designed focusing on the monitoring indicators specified for the verification of accomplishment of the project objectives. In this context, the selection of the indicators agreed upon for reporting progress to the donors (DFID, SDC and World Bank) was emphasized.

Considering the need of obtaining support from the harmonized database, the monitoring templates were developed. They covered different stages of the project cycle (e.g. pre-training, training, post-training and income verification for the assessment of gainful employment of the training graduates). These templates are elaborately described in the form of monitoring guidelines. They are validated through four regional workshops organized for the partner organization representatives (users of the guideline) in Chitwan, Dhulikhel, Kathmandu and Nepalgunj. They were not only provided with opportunities for familiarizing the structure and content of the guideline but also given ample opportunities to share their views for the adjustment of the guideline to make its application more effective.

1.4 Users of the Guideline

The main users of this guideline are monitoring staff working with EFS and its partnering T&Es. It will guide them to prevent failure.

Some T&Es partnering with EFS have already practiced harmonized database for other projects (e.g. EIG). As the proposed monitoring system is almost similar to the system they have been before the users will benefit from the friendliness of this system too.

The harmonized database and monitoring system envisaged by EFS anticipates to work through online component. It contributes to uploading of related data into the system from any location in the field. It provides advantage to receive information instantly upon retrieval of the data entered into the Web Page.[2] This kind of system facilitates T&Es and EFS to accelerate the appraisal of field activities without much delay. As the system also makes a provision of different data access system for different users, it is useful for selective audience that the project management may decide.

In view of the above mentioned possibilities, this guideline has been introduced. Attempt has been made to make this guideline as simple as possible and user-friendly for the field monitor.

1.5 Organization of the Guideline

The guideline is divided into four chapters. Chapter one provides general information about the guideline, while the second chapter is devoted for the performance indicators highlighted in the donor agreements. The third chapter includes monitoring framework highlighting interrelationships between compliance and results monitoring aspects. In the fourth chapter, the monitoring components covered by the guideline are discussed. Finally, the fifth chapter is devoted for conclusion.

[2] For example, once the participants are selected, the person in the field can enter all data on the spot before the training starts. The respective T&E and EF can access to such data instantly.

II. DONOR AGREEMENTS HIGHLIGHTED PERFORMANCE INDICATORS FOR EFS

Indicators are useful to clearly define the targets to be accomplished. They help stakeholders in knowing their respective roles and responsibilities that directly or indirectly relate to the achievement of progress. Upon such realization, the contract document signed by Helvetas with DFID, SDC and World Bank have specified following indicators to which the EFS expects to respond. In this process, it will work in collaboration with the partnering T&Es:

> The indicators should not be ambiguous as their relevance is proven only when they can measure specific progress.

2.1 Qualification of Trainees

Following indicators are specified for the qualification of trainees;

2.1.1 Unemployed Youths Representing Economically Poor Condition[3]

The orientation of the project is towards the benefit of poor. Accordingly, it supports unemployed youths, who correspond to their poor economic condition. This is one of the criteria to be followed by the project to define eligibility of trainee to attend training services.

2.1.2 Age Group and Gender

Different donors specify different gender and age groups. For example, in the case of **DFID, 60 percent women's participation** is envisioned; in the case of **SDC**, the priority target group is **50 percent male and 50 percent female**. However, In the case of **AGEI/World Bank**, it is **exclusively female**.

The donors also differ on the age groups specified for the trainees. For example, the **AGEI/World Bank** targets the coverage of female as trainees aged between **16 to 24 years**.[4] In the case of **DFID and SDC**, the age group specified for male is **16 to 35 years**. However, in case of female the age bar is **16-40 years**[5]

2.1.3 Education Level

The trainees targeted by the project should not have passed SLC (meaning, they should be below SLC). The project documents specify only the upper level ceilings of education but remain silent about the extreme at the bottom level, which is "illiterate".

There are certain occupations which are mentioned in Annex 4 where only women applicants below grade 12 level of education can also apply for the training. Additionally, in very few occupations as mentioned in Annex 5 where the training events are planned only for overseas employment, both men and women applicants could be above SLC and below grade 12 level of education.

[3] Indicator proposed under the support of all donors (DFID, SDC and World Bank)
[4] Indicator proposed under AGEI/World Bank support.
[5] Indicator proposed under DFID/SDC.

2.1.4 Priority Target Groups

The project has set priority order for different target groups. They are divided into four categories (A, B, C and D)[6]. They are grouped in view of their socially and economically disadvantaged positions as follows:

Table - 1: Classification of Priority Target Groups

Category	Target Group Characteristics
A	**Women:** Dalit women women from the following special groups: widows; internally displaced; ex-combatants; physically disabled; HIV-infected
B	**Women:** Economically poor women not referred to under Category A
C	**Men:** Dalit, Janjati, Madhesi men men from the following special groups: internally displaced; ex-combatants; physically disabled; HIV-infected
D	**Men:** Economically poor men not referred to under Category C

2.2 Enhanced Outreach

The project intends to get hold of more candidates belonging to the poor and vulnerable population groups. It emphasizes competitive selection of the trainees. For this, it emphasizes collection of more applications from potential candidates who are interested to attend training. In this context, emphasis is given for expanding outreach over the years. Two indicators specified for this purpose are: (a) 50 percent more applications for the interview of trainees to be selected; and (b) 25 percent annual increase in the number of applications from excluded groups.[7]

The communication and outreach strategy has been proposed for enhancing participation of excluded groups. It requires use of multiple media sources (e.g. FM radio, interpersonal messaging, market networks etc.). EF is currently developing a strategy for such expanded outreach.

2.3 Quality of Training

The project considers that the combination of business skills and life skills with occupational skill training will enhance chances of accessing gainful employment. Accordingly, it has emphasized technical training component of various trades (existing and new ones). For the life skills training, it emphasizes on the aspects which contribute to link training with employment market potential.

The delivery of quality training and support services is important to enhance employment opportunity. Three indicators specified in relation to such quality are: (a) Satisfaction of Trainees over the Technical/Business Skills, (b) Increased Knowledge Gained by the Trainees from Topics Covered on Life Skills, and (c) Satisfaction of Trainees over the Life Skills Training.

[6] Indicator proposed under the support of DFID and SDC.
[7] Indicator proposed under the support of World Bank.

The length of training expected is 3 to 6 months. Use of CTEVT curricula with some up-to-date market need adjustments (e.g. inclusion of skills plus packages covering the components such as negotiation skills, dealing against discriminations, education on the worker's rights, financial literacy, control over earned income etc.) has been emphasized. Such integration is expected to become useful in enhancing capacity of the trainees in dealing with social and gender specific challenges while they enter into the labour market.

2.3.1 Trainees' Satisfaction over Technical/Business Skills

One of the criteria set by the project regarding quality of training is the satisfaction of participants over the technical/business skills training they have attended. At least **80 percent** of the total number of trainees should have **expressed such satisfaction level scoring a rank of 3 out of 5-point scale**.[8]

2.3.2 Increased Knowledge Gained by the Trainees from Topics Covered on Life Skills

The project expects that at least **80 percent graduates should have felt increased knowledge** gained from the topics covered on life skills (i.e. knowledge about the household, community and market related skills included in the curriculum).[9]

2.4 Proportion of Graduating Trainees

The project requires at least **90 percent graduates** from the total number of trainees enrolled in the training programme completes the training**.**[10]

2.5 Proportion of Successful Candidates in the Skills Test

The project requires at least **80 percent successful candidates among** the graduates appearing **in the skills test.**[11]

2.6 Employment Opportunities and the Quality of Job

The project expects that the training graduates are satisfied with employment market opportunities increased overtime. Further, it also expects satisfaction of the training graduates toward quality of employment they access. Three indicators are specified to cover these aspects: (a) Follow-up for the Placement of Trainees. (b) Satisfaction over Increased in Employment Opportunities, and (c) Satisfaction over Quality of Employment.

2.7 Follow-up for the Placement Arrangement

All training programmes conducted under the project should be related to the labour market needs. The T&Es are required to conduct RMA prior to proposing any training course on any trade. Such study contributes to foresee the scope for job placement after training. The RMA should cover analysis of employment opportunities for both self and wage employments.

[8] Indicator proposed under the support of World Bank.
[9] Indicator proposed under the support of World Bank.
[10] Indicator proposed under the support of World Bank with emphasis on the non-traditional trades representing high wage areas.
[11] Indicator proposed under the support of World Bank with emphasis on the non-traditional trades representing high wage areas.

As the trainees are expected to be employed after completion of the training programme, the extent of follow-up made by the T&Es with trainees and potential employers has been selected as one of the indicators.[12]

2.8 Satisfaction over Increased Employment Opportunities

The project expects that the employment opportunities for the graduates will increase overtime. At least **80 percent training graduates are expected to report their satisfaction about such increased employment opportunities** with a rank score of 3 out of 5-points scale.[13]

2.9 Satisfaction over Employment Quality

Satisfaction of the employed graduates about the quality of jobs they hold is a criterion set by the project. **At least 80 percent of the training graduates are expected to express satisfaction with a ranking scale of at least 3 out of the 5-point** choices provided for them to respond.[14]

Besides the specification of these indicators, the project also expects adoption of consistent standard in the implementation process of training activities. Accordingly, it emphasizes application of the norms of good governance.

2.10 Outcome

The outcome indicators related to the project cover two aspects: (a) Income Level Specified for Gainful Employment, and (b) Proportion of Gainfully Employed Trainees. Further details on these are presented below:

2.10.1 Income Level Reflecting Gainful Employment

The term "gainful employment" has been defined on the basis of level of income earned by the training graduate through one of the following employment types:

Table 2: Specified Income Levels for Different Types of Employment

SN	Type of Employment		Income Level Specified for "Gainful Employment"
1.	Domestic Market Employment		
	1.1	Elementary level training	**Rs. 3,000.-** /month[15]
	1.2	Level one training	**Rs. 4,600.-** /month[16]
2.	Foreign Market Employment		
	2.1	India	**Rs. 7,000.-** /month[17]
	2.2	Overseas (countries other than India)	**Rs. 15,000.-** /month[18]

[12] Indicator proposed under the support of World Bank.
[13] Indicator proposed under the support of World Bank.
[14] Indicator proposed under the support of World Bank.
[15] Indicator proposed under the support of all donors (DFID, SDC and World Bank).
[16] Indicator proposed under the ADEI support of World Bank.
[17] Indicator proposed under the support of DFID and SDC.
[18] Indicator proposed under the support of DFID and SDC.

2.10.2 Proportion of Gainfully Employed Trainees

The project expects that **at least 80 percent** trainees should be gainfully employed (i.e. employed with an earning of specified level of income or above). These graduates should hold such employment for not less than 6 months after training.

III. MONITORING FRAMEWORK

Monitoring of progress contributes to ensure effectiveness and efficiency of the project as follows:

- When progress is monitored, it contributes to the foresee success
- When success targets are identified, incentive to the T&Es can be paid accordingly (i.e. paid proportionately to the level of success accomplished);
- When failure is recognized, further failures can be controlled through corrective measures;
- When there is no monitoring, there is no knowledge about the effects of different intervention methods contributing to success. This subsequently means there is no strategic learning on methods for further improvements; and
- When activities and processes are monitored, the achievements can be revealed. This can contribute the project to attract further support from other development partners.

Monitoring Helps

- To make the project objectives, assumptions, indicators and activities clear.
- To see whether adequate provisions are made for meeting the envisaged results.
- To see whether progress is heading towards right direction to support another stage activity to perform.
- To harmonize priorities with knowledge of the effects of implemented activities.

The support provided by all the three donors (i.e. DFID, SDC and World Bank) emphasizes training of unemployed youths for their successful access to gainful employment.[19] Accordingly, EFS has been following outcome-based financing approach for its partner T&Es.

When envisaged outcome is clear, the stakeholders know what success would look like. Such vision then guides them to perform selected activities better so that the outcome will be accomplished as targeted.

The outcome-based financing approach is a pioneering activity in Nepal as it has been attempted by EFS for the first time in country's TEVT sector history. Given that this approach is new and challenging, it needs strict monitoring to build a learning process into the operational system of the project and also to control the risk of deviations from promoting employable skills on different trades that are suitable for the placement of jobs. In this context, the monitoring of both training process and results are essential.

The success of EFS is interdependent upon the roles played by its collaborating T&Es. This situation demands mutuality in their actions. One of such requirements is the harmonized

[19] For the purpose of the Employment Fund programme, the term "gainful employment" is defined as an employment opportunity which provides the training graduate an access to earning of Rs. 3,000.- per month (in case of informal sector employment), Rs. 4,600.- per month (in case of formal sector employment), Rs. 5,000.- per month (in case of employment in India) and Rs. 12,000.- per month (in case of employment in the overseas – i.e. the country other than India).

database, where the T&Es record and report progress about the training, employment and gainful income earnings. It forms a basis for EFS to monitor periodic progress.

In order to maintain momentum of the progress the T&E should consistently provide into the system. These data should then be analyzed and interpreted to report periodic achievements. It also provides a basis for feedback for necessary improvements. This provides opportunity for EFS to further report its progress to the EFSSC and donors. It contributes to adjust policies and strategies (e.g. on the selection of priority target groups, maintaining training quality, effective job placements and verification of income earnings) as necessary.

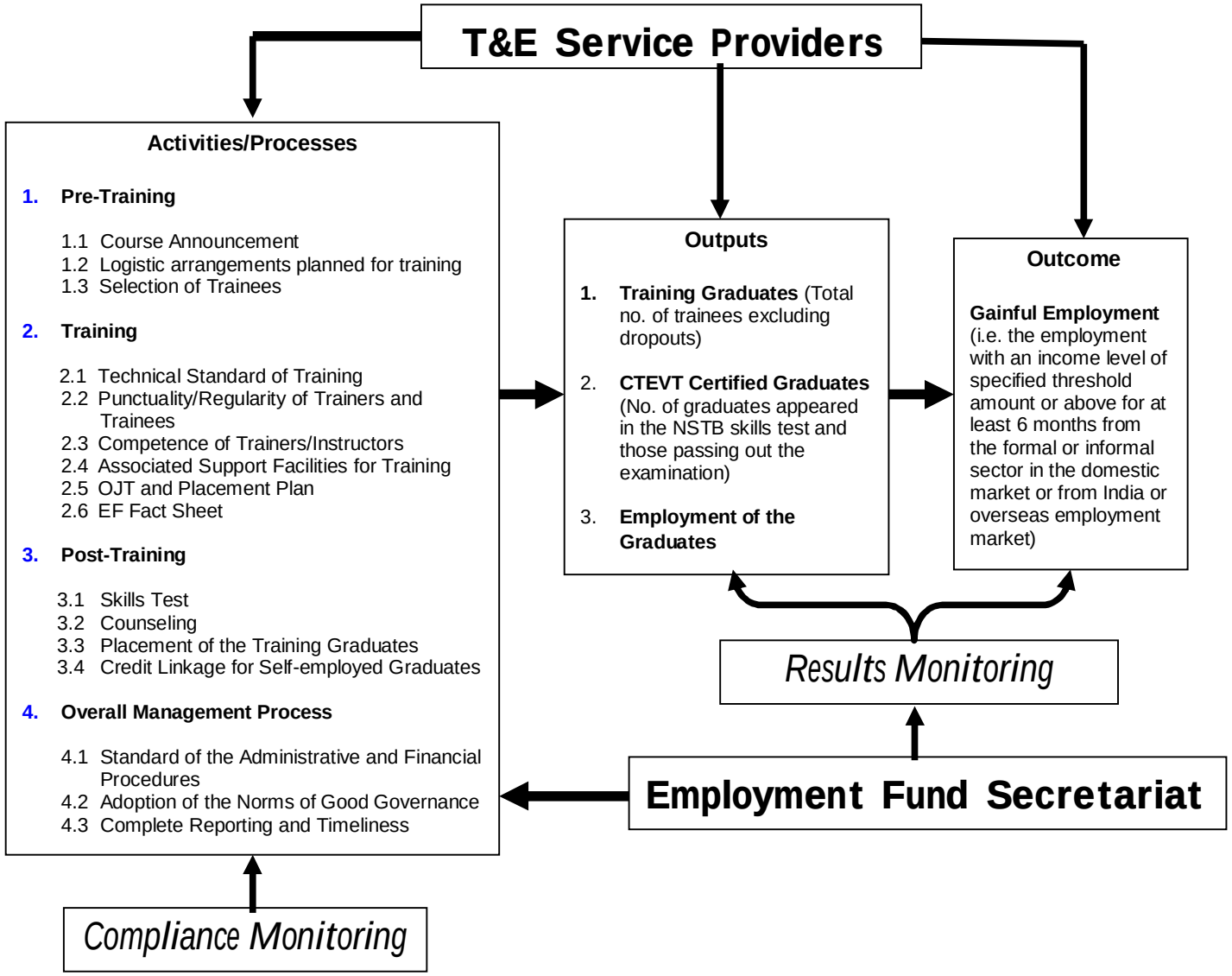
Effective Monitoring System Should Contribute

- To regular consistent measurement against key indicators of progress made on the process, output and outcome;
- To facilitate measurement of progress in both consolidated and the disaggregated forms (e.g. disaggregation by gender, caste, trade donor, district etc.);
- To facilitate decision making process for effective management of the project at both field and the headquarters level; and
- To make use of data generated by the system without much overload for additional collection.

- MTPF-API Framework, CARE, 1996

As has been discussed earlier, both procedural compliance and results monitoring are important for EFS to learn from implemented activities. As the incentives for T&Es is built upon the level of success (i.e. a gainful employment of the training graduates). The EFS needs to verify both compliance to the procedures and verification of results. In view of this, the following monitoring framework has been developed **(Chart 3)**:

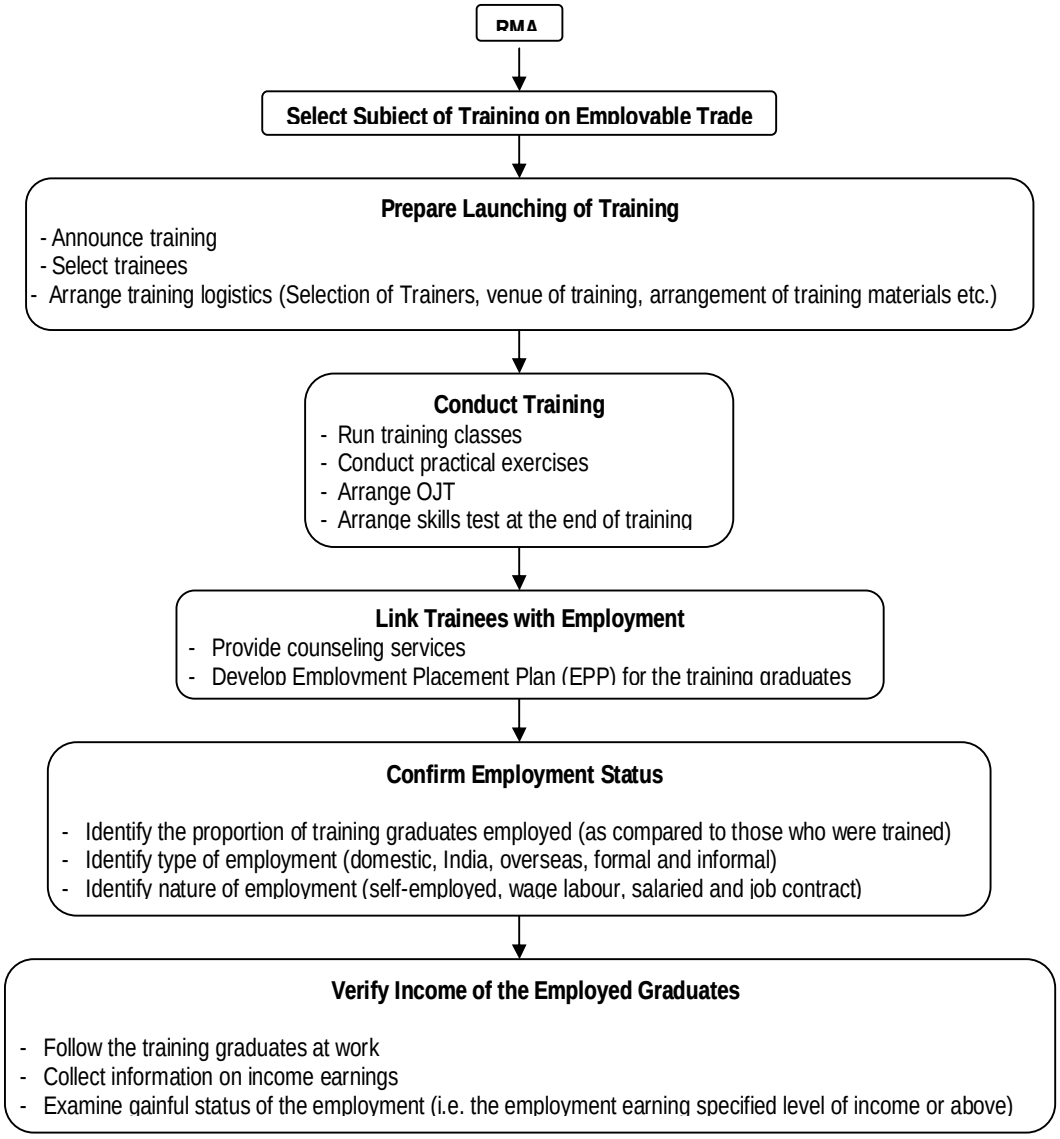
Chart – 3: Monitoring Framework for EFS – T&E Partnership Projects



IV. MONITORING COMPONENTS COVERED BY THE GUIDELINE

Major activity chains of the project leading from training to gainful employment are as follows:

Chart - 2: Training and Employment Activity Chains



These activity chains are grouped into two categories from EFS's of monitoring perspective: (a) Compliance Monitoring (i.e. monitoring of the activities and processes), and (b) Results Monitoring (i.e. monitoring of the outputs and outcomes).

4.1 Monitoring of Activities and Processes

Following the recommendations of SDC study, EFS will primarily focus on the monitoring of outcome rather than process (except for some random spot-checks). In view of this, following aspects of the activity chains are listed as components of compliance monitoring:

a) Pre-training
b) Training

c) Post-training
d) Overall Management Process
e) Employment and Income Verification

Spot-checks will be undertaken randomly. Such checks will cover one or more of the elements of the pre-training, training, employment and gainful income verification process at least once for each T&E within its annual partnership cycle. Such spot-check will focus on detailed analysis of the status of the process and results assessed. In doing so, the spot-check may or may not cover each and every event of the same T&E but in aggregate cover the whole process of training and income verification in different segments. The T&Es for spot-check will be selected with the application random sampling technique. However, it should be understood that the selection of T&E activities for a random spot-check will not necessarily mean that the EFS will not be making any purposive visits. Depending upon the nature of issues observed for any particular T&E, it will additionally make purposive spot-checks as well.

4.1.1 Pre-Training

When the T&E selection process is complete, they begin preparations for training. This stage is described as pre-training process. During this stage, the T&Es are expected to cover three major activities: (a) Course Announcement, (b) Collection of Adequate Applications for the Selection of Trainees, (c) Planning of Training Logistics, and (d) Selection of Trainees. The monitoring of activities and processes at this stage will focus on how satisfactorily they are planned and implemented.

4.1.1.1 Course Announcement

The T&Es are required to announce the training course publicly before they are organized. The first and foremost task to be verified in the announcement is whether the advertisement is consistent to the trade identified from RMA (in view of the employment market potential) or not.

The course announcement should draw attention of greater number of youths so that the T&Es would be able to select the priority target groups from a larger lot. To ensure this, the announcement should be disseminated as widely as possible. It should use various media sources. The field monitors should see whether the T&Es have made use of popular media sources, which can easily reach to wider audience (including the priority target groups). He/she should assess the announcement in view of media-friendliness of the target groups. This means that the T&Es should not be miss out popular media sources.

Apply Any Three of the Following Media Sources According to their Importance for the Targeted Area

- Newspaper
- FM radio
- Public meetings
- Posted notice at different places
- Previous training graduates
- Trainers
- Local government bodies (DDC, VDC Municipality Ward Offices,)
- Other easily accessible public places (e.g. line agencies, schools, clubs, health posts, temples, mosques, churches, rural market centers, local offices of the political parties, cooperatives, users' group etc.)

EFS has developed an announcement checklist. The field monitors should see if such checklist is being used by the T&E.

For the training programmes targeted for a specified location only, the T&Es should announce the course in local language. They should follow Communication and Outreach Strategy of EFS. The field monitors should verify the extent of capture of basic requirements as described above.

The messages delivered for announcement should be complete and understandable by the interested youths. The adequacy of the messages should be monitored in view of their completeness (i.e. whether the key aspects to be informed to the potential trainee is covered or not). It helps the potential applicants to decide whether he or she should submit his/her application. Primarily, such information should cover: (a) Messages about the training event, (b) Eligibility criteria for the applicants, (c) Venue for submission of application, and (d) Deadline for the submission of application.

Points to be covered in the Announcement of Training

- Training title
- Starting and ending dates
- Total training hours
- Training sessions in morning or afternoon
- Venue of training
- Eligibility criteria for the applicants
- OJT, apprenticeship and placement provisions
- Funding support of EFS
- Free training to the general public
- Priority target groups (e.g. Dalit, Janajati, women and poor)
- Venue to obtain application forms
- Venue to submit filled-in applications
- Last date for the submission of application
- Contact number for further enquiry about training

The announcement should provide adequate time for the submission of applications. The field monitors should verify whether the advance notice provided is at least 15 days before the closure of the deadline.

After the verification of abovementioned aspects, the field monitor should assess status of the level of compliance. He / she should assign rank score of “0” or “0.5” or ”1” depending upon the status observed across each aspect outlined in the monitoring template. If the observation of field monitor indicates “Not Compliant with the Requirement”, a rank score of “0” should be given. If the observation indicates “Partially Compliant with the Requirement”, a rank score of “0.5” should be given. Similarly, in the case of observation indicating “Compliant with the Requirement”, a score of “1” should be given.

Monitoring Template – 1
Course Announcement

SN	Activity/Process Indicators	Compliance Status		
		NCR (0)	PCR (0.5)	CR (1)
1	Subject of training announced on the trade identified through RMA			
2	Information covered by the announcement[20]:			
	2.1 Eligibility criteria for the trainees (e.g. education, age, sex, caste, deprived position in the society etc.)			
	2.2 Training start date			
	2.3 Training location			
	2.4 Training duration (dates from and to)			
	2.5 Training hours per day			
	2.6 Contact address to submit application			
	2.7 Documents required to submit with application (citizenship certificate / passport*, school mark sheet etc.)			
	2.8 Exemption of training fees			
	2.9 Other facilities (e.g. Tiffin, transport, accommodation etc.) to be provided to the participants during training (as budgeted in the training plan)**			
3	Notice issued at least 10 days before the application submission deadline			
4	Use of at least 3 important local media sources for the announcement (e.g. local newspaper; pamphlets and posters; TV; FM radio; announcement in public gatherings; announcement in the meetings; posting of notice at public places; dissemination through previous training graduates; dissemination through trainers; miking etc.)			
5	Forward information to the local government bodies (DDC and VDC)			
6	Forward information to other agencies (e.g. schools, clubs, health posts, cooperatives, user groups etc.)			

* Only in case of those who target foreign employment as a destination
** Mention "NA" if not applicable

NCR = Not Compliant with the Requirement
PCR = Partly Complaint with the Requirement
CR = Compliant with the Requirement

4.1.1.2 Collection of Adequate Applications for the Selection of Trainees

The T&E requires selection of priority group trainees among the applicants. For this purpose, the T&E should have greater number of applicants than the actual number of trainees to be selected. For this, the T&E should preferably obtain 50 percent more applications for the selection interviewees in each training event.

[20] For the conditions stated from point 2.1 to 2.9 assign a composite rank score as follows:

- If all nine conditions fulfilled, provide a rank score of "Compliant with the Requirement"
- If 50 percent (i.e. five) conditions fulfilled, provide a rank score of "Partially Compliant with the Requirement"
- If less than 50 percent (i.e. less than five) conditions fulfilled, provide a rank score of "Not Compliant with the Requirement"

Past experience of some T&Es shows that obtaining extra number of applications is often difficult if not impossible depending upon the varying condition of the districts and the diverse trades to be covered. The EFS is developing Communication and Outreach Strategy to help the partner T&Es. Till such strategy is effectively implemented, EFS has temporarily decided a threshold of the collection of at least 25 percent more applicants for the interview in each training event. However, it should be noted that the T&Es should make an attempt to collect 50 percent more applications for interview.

If it does not become possible for the T&E to collect adequate applications, it should then inform EFS before taking further steps for the interview. The field monitor of EFS should then assess the level of inadequacy of the extra number of applications (including the specified level of transitional threshold of extra 25 percent) along with its surrounding difficulties. Based on such assessment, it will then suggest the T&E to re-announce the training course or launch the particular course under special circumstances.

With exception of the abovementioned circumstances, the compliance to the requirements for all other courses should be examined by looking at the success rate of the collection of adequate number of extra applications. The field monitor should assign the rank score across the related box in the following template accordingly. For example, if the extra number of applications collected is below 25 percent (i.e. if the no. of trainees to be selected is 20 but the applications collected for interview is less than 25), it should be considered as "Not Compliant with the Requirement". If it is 25 percent more but not 50 percent extra (i.e. greater than 25 applicants but below 30 if 20 trainees are to be selected), it should be considered as "Partially Complaint to the Requirement". If the extra number of applicants is 50 percent more or even greater, then it should be classified as "Compliant with the Requirement".

Monitoring Template – 2
Extent of Applications Collected

Activity/Process Indicator	Compliance Status		
	NCR (0)	PCR (0.5)	CR (1)
Collection of 150 percent applicants (i.e. 50 percent more than the minimum no. of trainees required to be selected)			

NCR = Not Compliant with the Requirement
PCR = Partly Complaint with the Requirement
CR = Compliant with the Requirement

4.1.1.3 Planning of Training Logistics

When the courses are announced, the T&Es need to prepare themselves for training with necessary logistics support. Such support should cover a decision about the dates of training (start and end), venue of training, trainers to cover the subject areas specified in

Important Logistics for Training

- Specification of training date (beginning and end)
- Fixation of training venue
- No. of trainers required for different subjects
- Identification of the trainers
- Access to curriculum (stating different components of the theoretical and practical training sessions including associated training hours)
- Facilities to be provided to the participants during training

the training curriculum, theoretical and practical compositions of the training sessions supply of training materials and facilities to be provided to the trainees during training. The field monitor should verify training dates and venue of training fixed. This is to see whether they were planned adequately ahead of the implementation date to allow trainers and trainees to attend the programme with punctuality. Similarly, he or she should also verify whether arrangements for the theoretical and practical sessions have been planned in advance not to affect the quality of delivery of training services. Likewise, the field monitor should also verify whether the facilities to be provided to the trainees (e.g. transportation, accommodations, tiffin etc.) are planned as stated in the announcement or not.

Based on the observations made, the field monitor should assign rank score across the items outlined in the following monitoring template. For the activities not complied with, they should be denoted by "0" to indicate a status of "Not Compliant with the Requirement". If they are partially arranged, they should then be assigned a rank score of "0.5" to indicate "Partially Complaint to the Requirement". If the observation is satisfactory as conditions have been met, it should be denoted as "Compliant with the Requirement", with a rank score of "1".

Monitoring Template – 3
Logistics Planned for Training

SN	Activity / Process Indicators	Compliance Status		
		NCR (0)	PCR (0.5)	CR (1)
1	Beginning date of training and its duration planned/mentioned			
2	Specified training location which is accessible for all trainees			
3	Identification of qualified trainers (i.e. trainers holding Level – I certificate with 3 years' of teaching experience **or** Level – 2 certificate with teaching experience **or** Level – 3 certificate with teaching experience and ToT certificate) for different subject areas to be covered			
4	Identification of qualified trainers			
5	Curriculum specifying theoretical and practical components of training including their specified training hours			
6	Provisions made for the training associated facilities (e.g. Tiffin, Training tools, accommodation for residential course, transportation Cost etc.) to be offered to the trainees (if included in the training plan and budget)*			
7	Formation of Committee for Trainees Selection (a committee with representation of members including potential employer)			

* Mention "NA" if not applicable

NCR = Not Compliant with the Requirement
PCR = Partly Complaint with the Requirement
CR = Compliant with the Requirement

4.1.1.4 Selection of Trainees

The personal details, socio-economic status of family, education of the candidate are aspects to be examined while sort listing the candidates. The field monitor should verify whether the short listed candidates meet eligibility criteria defined by the project or not. They should also verify the validity of scores provided and make sure that a candidate with highest score has been short-listed in a merit order.

Trainees should be selected from the category of priority target groups as much as possible. They should be out of school youths aged between 16-35 years (16-24 years in the case of AGEI) with an education level below SLC. One of the conditions applicable for their selection is their economic poverty, which is measured in terms of their less than six months' of food sufficiency. For farm worker the food deficiency criterion applies. For others, a family income of less than NRs. 3,000 per month is applied.

Criteria for Short-Listing of the Applicants

- Candidates meeting basic requirements (i.e. eligibility criteria related to age, education, gender etc.)
- Trade related training interest
- Poverty condition of the family
- Priority target group
- Living in a remote district

In the case of DFID and SDC supported participants, the out-of-school youths (male and female) belonging to the age group of 16 to 35 years should be selected. However, in the case of Adolescent Girls Employment Initiative (AGEI) supported by the World Bank, the out-of-school females aged between 16 to 24 years are targeted. For all selections, priority should be given to the socially discriminated and economically disadvantaged poor. During selection, the youths who lack skills for accessing job, lack confidence and are less competitive should be prioritized. Such disadvantaged groups should preferably include Dalits, Janajatis, women and special groups (such as IDPs, HIV-infected persons, widows, disabled persons, ex-combatants and conflict-affected persons). As they are the most severely deprived groups, they should receive priority in the selection process. In view of these, three categories have been created reflecting upon their disadvantaged social caste group and gender: (a) Category A: Dalits (male and female) and special target groups such as HIV-infected, widows, disabled, ex-combatants and internally displaced persons; (b) Category B: Janajati (male and female) and other poor female; and (C) Category C: Other caste groups who are economically poor. As the training incentives to be paid to the T&Es are tied-up with their successful enrollment of these priority groups, the field monitor should verify if their selection is within the priority criteria specified.

Interview Panel for the Selection of Trainees

Core Members

- T&E representative
- Training Coordinator
- Potential Employer

Observers

- Locally reputed person
- EF representative
- Representative from baseline survey institution (when available)

The criteria applied for short-listing also applies for interview. A Selection Panel should have formed to interview the candidates. This panel should consist of at least three members (T&E Representative, Training Coordinator/Trainer and Potential Employer Representative). They should be officially nominated by the Board of Directors of the T&E concerned. In addition, one locally

reputed person, EFS representative and one representative of the Baseline Survey Firm (as available) should also be invited as observer during the interview. For such invitation, the T&Es are required to inform the date and venue of trainees' interview to the designated Focal Point of EFS at least two weeks before. Such advance notice is necessary for the designated EFS Field Monitoring Officer to arrange his / her visit to attend the interview, if they wish to appear.

As it may not be possible for the EFS Field Monitor to observe all interviews, he/she will be selective to cover such interview. In covering the interviews selectively, it is important for the field monitor to attend the interviews conducted by both new and old working partner T&Es. It helps to cross-fertilize learning.

The T&Es should not change the interview dates without consulting EFS Field Monitor/Contact Person. Whenever there is a need for such change, they should forward request to the EFS at least 10 days before the proposed date of change. If the change has been created with a short notice or without consulting the designated contact person of the EFS, such case would be treated as an act of "Not Compliant with the Requirement."

As a part of the preparation for necessary interview of the applicants, the members of the Selection Panel should be provided with a list of short-listed candidates. The T&Es should give interview guidelines to each member of the interview panel (particularly, the priority-based marking criteria for each category of the applicants). Fairness should be maintained in the interview approach including the announcement of results.

Besides verifying their eligibility and aptitudes of the candidates, the Selection Panel should also find out interviewee's commitment to completing vocational training; motivation to seek employment; interest on chosen vocation; and vision of the entrepreneurial skills.

The members of the Selection Panel are required to assign scores for each candidate across the criteria used for interview. After the interview of each candidate, they should briefly discuss about the agreed upon score for the candidate so as to calculate the final mark.

Responsibilities of the Panel Members of Trainees Selection Committee

- Validate short-listed candidates called for interview
- Assign mark scores to each candidate after interview
- Discuss scores in the panel and agree upon the final mark for the each interviewee
- Compile scores of all candidates in a list in the merit order
- Finalize the list on merit basis
- Select trainees about the cut-off point in the merit list
- Certify the list with signature
- Make the list public for the interest of all candidates who attended interview

All scores should be consolidated in a Ranking Form to produce a list of the candidates on merit order (from highest to the lowest rank). The selection should then be finalized after sorting out the candidates above and below the cut-off point in the merit list. Such list should be posted on an easily accessible area for those who are concerned.

The field monitor should thoroughly observe the process to make sure that all steps are fairly followed as per the expected norms. His / her role during the observation will be to raise questions if the envisaged rules are not followed. If the field monitor has not been able to directly observe the interview process while it was being implemented, then his / her role will be

find out from the T&E and non-T&E members of the Selection Panel about how it was conducted and how far the norms were applied in undertaking the interview of selected trainees. For the cross verification purpose, the field monitors should also ask selected and non-selected interviewees (as available) about how the process was launched and how satisfied they are about the transparency of the selection process followed. Having assessed all the above mentioned aspects, the field monitor should fill the following template by assigning appropriate rank scores as applicable. For the cases, which have not totally complied a rank score of "0" should be given to indicate "Not Compliant with the Requirement". If the criterion is partially met, it should be assigned with a rank score of "0.5" to indicate "Partially Complaint to the Requirement". If it is completely met then it should be denoted as "Compliant with the Requirement" with a rank score of "1". EF has prepared "announcement and trainee selection guideline" to support the T&Es. It helps them to guide proper selection of the right candidates for the training courses to be run.

Monitoring Template – 4
Preparations for Trainees Selection

SN	Activity/Process Indicators	Compliance Status		
		NCR (0)	PCR (0.5)	CR (1)
1	Merit based short-listing of candidates before the interview			
2	Completeness of the Trainees Selection Committee* (i.e. representation of all specified members including potential employer)			
3	Invitation communicated to EFS representative before one week of interview date			
4	Sharing of interview guidelines with the interviewers to indicate fair marking criteria for the selection of different categories of interviewees			
5	Interview of at least 25 percent extra applicants above the required no. of actual training size (i.e. the actual no. of trainees to be selected)			
6	Score sheets filled for each interviewee			
7	Bias-free selection of trainees (i.e. selected from the cut-off point of merit score obtained by each candidate)			
8	Eligibility criteria met by the selected trainees (e.g. Education - below SLC (refer annex 4); Priority Candidate - Category A, B, C & D, AGEI female between 16 to 24 years and/or male between 16 to 35 and female between 16 to 40 years in case of DFID and SDC; Employment and Income: unemployed or underemployed person not earning or earning less than Rs. 4,600.- per month currently; Suitability to Work: background matching with the potential trade identified by the RMA as employable			

* Also known as Interview committee

NCR = Not Compliant with the Requirement
PCR = Partly Complaint with the Requirement
CR = Compliant with the Requirement

Based on the analysis of overall activities undertaken during the pre-training stage of the course, the field monitor should communicate issues requiring actions for improvements to the T&Es. He/she should provide necessary recommendation about corrective measures with emphasis on immediate attention so that the project management process can be improved.

4.1.2 Training

Delivery of the quality services offered for training is directly associated with the success rate of employment and gainful income. Therefore, it is important to monitor whether the T&Es have implemented their training activities with proper attention to the aspects such as: (a) Technical Standard of the Training Course, (b) Punctuality/Regularity of Trainers and Trainees, (c) Competence of the Trainers/Instructors, (d) Support Facilities Associated with Training, (e) Apprenticeship / OJT Arrangements for Trainees, and (f) Preparation of the Employment Placement Plan (EPP).

4.1.2.1 Technical Standard of the Training Course

The training courses use CTEVT curriculum with integration of skills plus components (life skill and business skill) so as to enhance employability of the training graduates. The T&Es are expected to build these components into the curriculum of their training programmes (which may be additional to the CTEVT curricula depending upon the business and life skills components they want to add). The field monitor should verify whether such integration has taken place as specified earlier in the training plan. It is also important to see whether balance exists between the delivery of theoretical and practical sessions as required by the OSS curricula. Similarly, he/she should verify consistencies maintained in the use of session plans (both content wise and in relation to the total training hours devoted to the components of training).

Aspects Related to the Technical Standards of Training

- Integration of skills-plus sessions (business skills and life skills)
- Balance between theory and practice (sessions as per OSS)
- Consistent use of session plans
- Dedicated hours for different components of training (Re: Curriculum)
- Size of the class (Elementary – maximum 25; Others – maximum 22)
- Adequate no. of trainers (teachers / instructors)

The size of training is another aspect to be verified by the field monitor. He / she should see if the enrolled size of training exceeds the specified number (which is 20 per batch). In the case of elementary course, the T&Es can enroll up to 25 candidates.

To prevent the risk of possible discontinuation/dropout, the T&Es can enroll up to 22 (instead of 20). If all candidates successfully complete the course, the T&Es will receive the payments for 20 candidates in normal circumstances. However, if these two extra candidates are female, then the T&E will be paid for 22 candidates. This is purposely done to0 encourage female participation in the training programmes.

Adequacy of the number of trainers in teaching and providing instructions during practical works is essential in maintaining quality of training. The field monitor should verify if the T&E has adequately used the number of trainees for different components of the training course against the plan that was developed earlier.

Based on the assessment of above mentioned aspects of training, the field monitor should assign his/her rank scores according to the extent of compliance maintained. If his/her observation indicates that the aspect required to be fulfilled by the T&E has not been complied with the envisaged requirement, he/she should denote such case with a rank score of "0" meaning "Not Compliant with the Requirement". If the action indicates that the criterion is partially met, he/she should then assign a rank score of "0.5" to indicate the status of "Partially Complaint to the Requirement". If the condition is found completely met, then such item should be denoted as "Compliant with the Requirement" with a rank score of "1".

Monitoring Template – 5
Technical Standard of Training

SN	Activity/Process Indicators		Compliance Status		
			NCR (0)	PCR (0.5)	CR (1)
1	Integration of skills-plus sessions into the curriculum				
	1.1	Business skills (for both self and wage employment)			
	1.2	Life skills (for young women aged 16-24 years)			
	1.3	Additional skill sessions* covered to make the training more market friendly (as applicable)**			
	1.4	Health and safety measures (e.g. first aid, HIV.AIDS, use of globes, helmet, shoes, apron, scaffolding belt as applicable for the risk involved with different trades)			
2	Balance between theory and practice (Re: Curriculum; often 20:80 unless specified otherwise)				
3	Consistency in the use of session plans (Re: OSS Curricula)				
	3.1	Total training hours covered (as specified in the duration)			
	3.2	Devoted hours for each component of training			
4	Size of training: Not more than 22 trainees in a class (including 2 extra trainees). If for the elementary level, not more than 25 trainees				
5	Adequate no. of trainers involved in teaching and providing instructions				

*Covered by adjusting CTEVT curriculum with or without an increase of total hours of the training duration
** Mention "NA" if not applicable

NCR = Not Compliant with the Requirement
PCR = Partly Complaint with the Requirement
CR = Compliant with the Requirement

4.1.2.2 Competence of the Trainers/Instructors

In order to ensure the delivery of quality services, the trainers recruited by the T&E should be well qualified. He / she should have full command on the subject of training. Three aspects related to the verification of their competence are: (a) Graduation Certificate(s), (b) ToT Certificate, and (c) Trainees' Satisfaction over the Quality of Sessions Delivered.

EF has specified that the trainer should hold at least Level – 2 Certificate obtained from NSTB/CTEVT, while the preference should be given to those holding Level – 3 Certificate. Similarly, he/she must also hold ToT Certificate, which is mandatory for all trainers. The field monitor should verify whether the recruited trainers hold these certificates or not.

Qualification of a Trainer

- Holder of at least Level-2 (preferably Level – 3) NSTB certificate
- Holder of ToT certificate
- Teaching experience on the subject of training

Regarding quality of the sessions delivered, the field monitor should ask what the trainees learned from the trainers most. Further, they should be asked what they were able to learn clearly and what were still unclear. Building on these questions, the field monitor should then ask the trainees about whether they are satisfied with the competence of the trainer. The trainees should also be asked about whether they are confident to use learned skills at work. Based on such discussions, the field monitor should make an assessment of whether there was any inadequacy in the selection of qualified trainer. If he/she is a person used as trainer without holding the required certificate(s), such case should be read as "Not Compliant with the Requirement", which will receive a score rank of "0".

In the case of having certificates or not, there will be no "in-between" answer (i.e. either they hold certificate or not meaning either they comply with the needed criterion or not). In view of this, the box on "Partially Compliant with the Requirement" has been closed in the following monitoring template.

In the case of observation regarding trainer's command on the subject of training and satisfaction of the trainees over the quality of delivered sessions of training, the field monitor should ask questions to the trainees and analyze their response. Based on the type of response received, the information should be synthesized categorically such as "Not Compliant with the Requirement", "Partially Complaint to the Requirement" and "Complaint to the Requirement". The rank scores for these should be assigned accordingly.

Monitoring Template – 6
Trainers' / Instructors' Competence

SN	Activity/Process Indicators	Compliance Status		
		NCR (0)	PCR (0.5)	CR (1)
1	Qualified trainer suitable to the subject of training: (Level – I certificate holder with 3 years' of teaching experience **or** Level – 2 certificate holder with teaching experience **or** Level – 3 certificate holder with teaching experience as applicable)			
2	Trainer holding ToT certificate (from a Government registered organization or as arranged by EFS)			
3	Three years experience in teaching in related trade (Preferably besides other qualifications)			
4	Satisfaction expressed by trainees' over the quality of training services delivered*			

* Discussed with trainees during the monitoring visit

NCR = Not Compliant with the Requirement
PCR = Partly Complaint with the Requirement
CR = Compliant with the Requirement

4.1.2.3 Regular Attendance of Trainers and Trainees in the Training Programme with Punctuality of Session Hours

Punctuality and regularity are important aspects in maintaining the quality of training. The first concern of punctuality should be on whether the training programme was carried out on the originally specified date or not. If not, the field monitor should find out whether the newly changed date was fixed in consultation or pre-approval of EFS with adequate time float so that all concerned individuals (trainers, trainees, field monitor etc.) can attend the event. For such change, it is also important to see whether the notice provided in advance was adequate. If the field monitor finds that the training date was changed by the T&E without any consultation or pre-approval of EFS, then such action should be categorized as a matter of "Not Compliant with the Requirement".

Another aspect to be verified is whether all enrolled trainees are attending the course from Day-1 of the training programme or not. If there are late comers/joiners, how late he/she was to join the class should be identified. For practical reasons, a grace period of one week's delay can be considered reasonable for such late comers/joiners. If it is more than one week, then such case should be treated as "Not Compliant with the Requirement". If it is a case related to the delay of lesser than one week (i.e. one or two days only), it should be identified as "Partially Compliant with the Requirement". In the case of training programmes where all trainees joined the class from Day-1, they should be treated as "Compliant with the Requirement" case.

Punctual/Regular Attendance of Trainer(s) and Trainee(s) in the Training Programme

Management of Training

- Organization of training on the specified date
- No condensing of training duration

Attendance of Trainer(s)

- Regular in class
- Punctual in arriving at the training sessions

Trainee(s)

- No late comer/joiner beyond one week from the specified date of training
- Regular in class
- Punctual in arriving at the training sessions

The quality of training becomes effective if the trainers and trainees are punctual as well as regular to the training classes. Such punctualities and regularities in the training sessions are crucial against non availability of flexible time to compensate the missed out classes as training runs for fixed duration. In view of these, the field monitor should verify the extent to which the trainer(s) and trainee(s) were regular in attending the sessions and also that whether they arrive at the class timely and stay full duration of the period.

Based on the assessment of abovementioned aspects, the field monitor should assign appropriate rank score across the activity/process outlined in the following monitoring template:

Monitoring Template – 7
Regularity as well as Punctuality of the Attendance of Trainers and Trainees During the Training Sessions

SN	Activity/Process Indicators	Compliance Status		
		NCR (0)	PCR (0.5)	CR (1)
1	Training started from the date as stated originally			
2	At least 80 percent trainees attending the course from the training start date (i.e. no trainees attending the course with a delay of beyond seven day of training started date)			
3	80 percent presence of the trainers in the sessions as per the Planned Schedule			
4	At least 80 percent trainees regularly attending training sessions			
5	Use of logbook for the visitors' record			

NCR = Not Compliant with the Requirement PCR = Partly Complaint with the Requirement CR = Compliant with the Requirement

4.1.2.4 Support Facilities Associated with Training

In the context of making the training quality better arranging basic facilities for training is essential. The trainer should have a note or training manual in the class room so that he/she can refer to the text in case of need during teaching. The field monitor should see whether such training note, flipchart or a training manual was made available in the class room by T&E/Trainer himself/herself.

Basic Physical Facilities Required for Training

- Access of trainees to tools and equipment during practical sessions
- Adequate materials (consumables) for use
- Reference material for trainer in the class room (e.g. training manual, flip chart, training note etc.)
- Training handouts (as applicable and planned)
- Training hall with access to drinking water and toilet facilities
- Adequate furniture in the class room
- Sufficient space suitable to the size of training

The field monitor should also verify whether the training programme has been making use of adequate tools and equipment related to the subject of training. Their adequacy should be verified against the requirements specified in the OSS curricula. In some cases, the tools and equipment might be available but the trainees may not have access to use them for some reasons. The field monitor should verify this aspect from the perspective of both "availability and use". Similarly, the field monitor should also verify if there is adequate use of training materials (consumables) during the practical exercises. This is important to verify in the context of exposing trainees with hands-on exercises.

For the theoretical classes, some training programmes make provisions to distribute handouts and reference materials. The field monitor should verify whether such materials are provided as planned and budgeted.

Physical facility for training is another aspect to be verified. The conditions of such facility vary from one training spot to another as they are local situation dependent. The field monitor should examine if the condition of training hall is reasonable. In this course, he/she should verify whether it has adequate space for all or it is too narrow. Similarly, the adequacy of furniture inside the room should also be verified. Likewise, the cross ventilation and lights facilities should also be verified. Besides these, the access of the training hall to the drinking water and toilet facilities should also be verified.

Based on the observation of abovementioned aspects, the field monitor should then assign rank scores to the items outlined in the following template. If the field monitor finds that the case is "Not Compliant with the Requirement" he/she should assign a score of "0" across the item listed in the monitoring template. If he/she finds that it is partly met, then he/she should assign a rank score of "0.5" to denote the case as "Partially Compliant with the Requirement". If the envisaged requirement is fully met, then the field monitor should assign a rank score of "1" to indicate the case as "Compliant with the Requirement".

Monitoring Template – 8
Support Facilities Provided in the Training Programme

SN	Activity/Process Indicators	Compliance Status		
		NCR (0)	PCR (0.5)	CR (1)
1	Use of support materials for teaching (e.g. trainer notes, flipcharts and / or a Training Manual for trainer's reference during training)			
2	Access to OSS specified tools and equipment related to the subject of training			
3	Access of trainees to basic training materials (consumables) during practical exercise (as specified in the OSS/Curriculum)			
4	Access of trainees to the training handouts (as provisioned in the Training plan and budget)			
5	Training hall with basic facilities (room with a size of at least 20' x 22', furniture, ventilation, lights, noise free location etc.)			
6	First aid box with related materials			
7	Information about safety measures and related provisions (e.g. use of globes, helmet, shoes, apron, dark eye glass, scaffolding belt, fire fighting equipment etc.) applicable against the risk related to the trade)*			
8	Accidental insurance (as applicable for the trade like electric fittings, scaffoldings which involve higher risks)*			
9	Drinking water and toilet facilities accessible to the training hall			

* Mention "NA" if not applicable

NCR = Not Compliant with the Requirement
PCR = Partly Complaint with the Requirement
CR = Compliant with the Requirement

4.1.2.5 Apprenticeship / OJT Arrangements for Trainees

Some training programmes organize apprenticeship or OJT for the trainees. The field monitor should verify this aspect to see if implementation is undergoing according to the training plan. If the training plan has made no provision for such practical work, there is no need for verification of this aspect. At places, where the apprenticeship or OJT is provisioned, the field monitor should examine number of trainees attending such practical work, its venue and the duration. In doing so, he / she should observe whether the venue is reasonably accessible to the trainees or not. Likewise, the duration should be verified to check whether it is taking place according to the training plan or not. It is important to ascertain that the apprenticeship or OJT has not been implemented as a substitute to the planned training sessions.

Ways of Making Apprenticeship / OJT Arrangements Effective

a. Apprenticeship

- Accessible location for the trainees
- Access of trainees to the tools and equipment during practice
- Regular guidance from the lead technician(s)
- Duration of apprenticeship consistent to planning
- No apprenticeship as a substitute to training

b. OJT

- Accessible location for the trainees
- Access of trainees to the tools and equipment during practice
- Regular guidance of the lead technician
- Duration of OJT consistent to planning

Another aspect to be monitored is the quality of apprenticeship or OJT service as such. This means adequate access of the trainees to basic tools and equipment provided by the enterprise during implementation of such apprenticeship or OJT. Further, they should have access to the support of lead technician also. The field monitor should find out the extent to which such support is provided by the enterprise where the trainee is undergoing apprenticeship or OJT.

The access provided for the use of equipment and tools depends on the stage of learning attained by the trainee concerned. This factor should be considered during the verification process.

The field monitor should verify whether the apprenticeship or OJT work is done by the trainee in line with the subject of training he / she has attended. He / she should also verify whether the trainee has received regular guidance from the instructor in sharpening his / her technical skills.

After observation of the above mentioned aspects, the field monitor should fill information by using following monitoring template. He/she should categorically analyze the items whether they have been performed. If not, such case should be classified as “Not Compliant with the Requirement”. For this, a quantitative rank score of “0” should be allocated. If it is partially met, then it should be marked with a rank score of “0.5” to indicate “Partially Compliant with the Requirement”. If it is a case, where all conditions are fulfilled, then it should be reported as “Compliant with the Requirement” by assigning a rank score of “1” across the item concerned.

Monitoring Template – 9
Apprenticeship / OJT Arrangements for Trainees

SN	Activity/Process Indicators	No. of Trainees		
		Male	Female	Total
1	No. of trainees attending apprenticeship/OJT as provisioned in the training plan*			
Activity/Process Indicators		**Compliance Status**		
		NCR (0)	PCR (0.5)	CR (1)
2	Duration of apprenticeship/OJT (according to the OSS/Curriculum specified practical hours)			
3	Accessible location to the trainees (maximum two hours' travel time for a round trip including the use of local transport if in the urban area)			
4	Access of trainees to the tools and equipment during apprenticeship / OJT (as specified for the trade in OSS)			
5	Guidance from the lead technician / instructor working in the enterprise			
6	Matching of apprenticeship / OJT function with the subject of training			

* Mention "NA" if not applicable
NCR = Not Compliant with the Requirement; PCR = Partly Complaint with the Requirement; CR = Compliant with the Requirement

4.1.2.6 Preparation of the Employment Placement Plan (EPP)

The T&Es are required to connect their training graduates with gainful employment. To make sure that they will be able to employ maximum number of graduates possible, they need to develop EPP for each trainee before the training ends. The field monitor should examine whether such plan is prepared or not. If prepared, one of the requirements of such plan is to specify the name of potential employer and its location. The field monitor should verify these details too.

Checklist for the Preparation of EPP

- Plan for all training graduates
- Use of reliable information
- Willingness of trainee to join the identified job
- Design of plan at the end of training programme
- Complete name and contact address of the identified employers

In developing the EPP, the T&E will use information available from various sources (e.g. RMA, labour market demand expressed in the media, employers' network, self-employment decision of a trainee etc.). The field monitor should assess the extent to which the information can be considered reliable so that the plan will be effective during implementation too. He/she should discuss the reliability of such information sources with trainee and the enterprise(s) / company (ies).

The field monitor should also seek information from the identified enterprises regarding whether they are willing to absorb the proposed trainee(s) at job in their factory/industry. Similarly, he/she should also ask the trainee about his/her willingness to join the job as indicated in the plan.

Based on the abovementioned discussions, the pragmatic potential of indicated employment should be assessed. Such potential extends to different types of employment areas planned (e.g. self-employment, wage employment, domestic employment and foreign employment). In the case of informal sector employment, the verification potential may be limited. In this case, the trainee(s) will be the key respondents.

In view of the assessment of overall situation related to the preparation of EPP, the field monitor should classify the items outlined in the following monitoring template as "Not Compliant with the Requirement", "Partially Compliant with the Requirement", and "Fully Compliant with the Requirement". In the case of activity regarding whether an EPP has been prepared, it will have only two possible answers such as "Not Compliant with the Requirement" or "Compliant with the Requirement". Depending upon the status of this item, the rank score of "0" or "1" should be assigned accordingly. However, in the case of name and address of the enterprise, all the three options (including the "Partially Compliant with the Requirement") will be applicable. In the case of "extent of implementation practicalities contained in the plan", the first option "Not Compliant with the Requirement" will not be applicable. The boxes which are not applicable are locked.

Similarly, if EPP is not prepared, the name and address of the enterprise where the trainees are expected to work after graduation cannot be made available. At such situation, it should be given a rank score of "0" to signify that the T&E is "Not Compliant with the Requirement" for this item. If EPP is prepared but the list is not complete with the name and address for all enterprises, then it should be assigned a rank score of "0.5" to indicate the status of "Partially Compliant with the Requirement". Such classification should be applied only if the EPP is prepared for all trainees but the name and address of only some enterprises are not complete. In the case of EPP prepared for all trainees with complete name and address of the enterprises, the rank score of "1" indicating a criterion of "Compliant with the Requirement" should be applied.

Monitoring Template – 10
Employment Placement Plan (EPP) for Trainees

SN	Activity/Process Indicators	Compliance Status		
		NCR (0)	PCR (0.5)	CR (1)
1	Counseling of trainees for employment			
2	Employment Placement Plan (EPP) designed for all trainees (i.e. detailed plan for each trainee, which is additional to what is stated in the RMA)			
3	Complete name and address of the enterprise where the trainees will work after graduation*			
4	Extent of realities reflected in the plan about actual implementation possibilities**			

* If self-employed, mention his / her working address
** Cross-check with enterprises working at the specified placement locations

NCR = Not Compliant with the Requirement PCR = Partly Complaint with the Requirement CR = Compliant with the Requirement

The field monitor should be careful with regard to the timing of in verification of aspects included in this section. Since the preparation of EPP is meant for linking the training graduates with employment, most of the T&Es will be preparing this towards the end of the training programme. Therefore, it is proposed that the verification of EPP be taken during the last week of training only (by which time this template will be applicable).

4.1.3 Post-Training

The end of training is a stage where the trainees originally enrolled in the course are classified as those (a) Graduating, and (b) Not-graduating. The graduating candidates represent the trainees who successfully complete the course. The non-graduating candidates are drop-outs who could not complete the course. The field monitor should verify how many trainees were enrolled when the training begun and how many of them have been able to successfully graduate from the course.

Two important activities related to post-training stage are: (a) Skills Test of the Training Graduates, and (b) Placement of the Training Graduates.

4.1.3.1 Skills Test of the Training Graduates

All graduates are expected to attend skills test service offered by NSTB. The EFS has specified that at least 80 percent of such examinee should pass the test revealing the success standard of the technical skills he/she has acquired from training. The field monitor should verify the dates of skills test including the location where such test was taken. He/she will see what proportion of the training graduates appeared in the test and how many of them successfully passed out. He/she should verify the NSTB list to find out those who have been reported as "passed" (Though looking at their certificates would have been useful, they would not be immediately ready at the stage of post-training verification).

Priorities for Skills Test

- Mandatory appearance for all training graduates
- Need test soon after completion of training

All trainees enrolled in the training programme may or may not be graduating as some of them might quit the training before graduation because of various reasons. At such situation, forcing the norm of compliance will not be practical. Therefore, the field monitor should simply verify the number of graduating candidates against the number enrolled. However, in the case of graduates appearing in the skills test, their compliance should be verified because it is a mandatory condition to be followed by the T&E. In this case, the observation should be categorically mentioned whether it appears as "Not Compliant with the Requirement" or "Partially Compliant with the Requirement" or "Compliant with the Requirement". If no arrangement has been made for graduates to appear in the skills test despite the time is ripe, it should be considered a case of "Not Compliant with the Requirement". If some of them have been sent for skills test, it should be treated as "Partially Compliant with the Requirement". If all have been sent for skills test, then such case should be labeled as "Compliant with the Requirement". Based on these classifications, related rank scores should be assigned accordingly. In the case of those, who passed the skills test, their number should be noted.

Monitoring Template – 11
Graduating Trainees and Those Appeared in the Skills Test

SN	Activity/Process Indicators		No. of Trainees		
			Male	Female	Total
1	Graduating Candidates and the Drop Outs				
	1.1	No. of enrolled trainees			
	1.2	No. of graduated trainees			
2	Skills Test				
	2.1	No. of graduates who applied for skills test			
	2.2	No. of graduates appeared in the skills test			
	2.3	No. of graduates passing out the skills test*			

* Check the no. of qualified graduates as approved by the NSTB after skills test. Obtaining their certificates as evidence at this stage may not be possible as it requires more days for the certificates to be issued

NCR = Not Compliant with the Requirement
PCR = Partly Complaint with the Requirement
CR = Compliant with the Requirement

4.1.3.2 Placement of the Training Graduates

The placement function for the training graduates is a bridge between training and employment. It is an important event converting training skills into the opportunity of earning gainful income. The T&Es should emphasize this aspect as their success rates are counted on the basis of income results their programme can generate.

Arrangements for Job Placement

- Placement of maximum possible number of graduates
- Target for gainful employment
- Linkage with credit services (for self-employed graduates)
- Distribution of tools for self-employed graduates
- Pre-departure orientation for graduates targeting overseas employment
- Complete name and contract address of employers and employed graduates

The field monitor should verify the number of graduates who have been connected with employment at different places. He/she should verify who has been placed where. He/she should take their employment position by categories such as self-employed; wage-employed in the domestic market (in the formal and informal sectors); wage employed in the foreign market (e.g. in India or the overseas market other than India). In the case of training graduates placed to the overseas market, the list of candidates attending pre-departure orientation should be verified. Upon such verification, the proportion taking part in the orientation programme should be assessed. It should be remembered that this condition should be applied only for the overseas employment cases.

It is essential that the T&Es should have complete address of the training graduates who have been placed for employment. Such address is required both for the training graduate placed for employment and the employer (with name and detailed contact address). Similarly, the address

of the self-employed graduates should also be kept intact by the T&E, which should also be verified by the field monitor.
Some T&Es provide tools to their training graduates to keep them active at work. The field monitor should verify if such tools are provided as planned in the budget.

In view of the assessment of abovementioned aspects, the field monitor should categorically assign rank score across the line items mentioned in the following monitoring template. If he/she finds that the T&E has not complied with the criterion/condition to be followed, a rank score of "0" should be assigned to such item indicating its "Not Compliant with the Requirement" status. If he/she finds that it has partly complied with the requirement, then such item should be categorized as "Partially Compliant with the Requirement", such item should then be denoted with a rank score of "0.5". In the case where the field monitor finds complete compliance to the requirement, such item should be assigned a rank score of "1" highlighting the item as "Compliant with the Requirement".

Monitoring Template – 12
Actual Placement of the Training Graduates

SN	Activity/Process Indicators		No. of Trainees		
			Male	Female	Total
1	Graduates employed at different places				
	1.1	No. of self-employed graduates in the domestic market			
	1.2	No. of wage-employed graduates in the informal sector (domestic market)			
	1.3	No. of wage-employed graduates in the formal sector (domestic market)			
	1.4	No. of graduates employed in India			
	1.5	No. of graduates employed overseas (i.e. countries other than India)			
2	No. of graduates attending pre-departure orientation course from the agency registered with Labour Department of the GoN (applicable only in the case of overseas employment)*				
3	Distribution of tools for personal use of the self-employed graduates (applicable only if provisioned in the training plan and budget)*				
4	Complete contact address with name and location of the placement Enterprise for each graduate				
5	Update of contact address as per the movement of employed graduates from one place to another (as applicable)*				

* Mention "NA" if not applicable

NCR = Not Compliant with the Requirement; PCR = Partly Complaint with the Requirement; CR = Compliant with the Requirement

4.1.4 Overall Management Process

The T&Es are expected to follow standard administrative and financial management procedures. The implemented activities should be guided by agreed upon rules and regulations. The transactions should be transparent. They should maintain punctuality in uploading data on implemented activities, processes and results into the harmonized database. Likewise, they should timely submit financial statements and reports. Keeping these requirements in view, the T&Es should comply with four major administrative and financial management procedures: (a) Adoption of Standard Administrative and Financial Procedures, (b) Application of Good Governance Norms, (c) Complete Data Uploading at Different Stages with Punctually, and (d) Timely Submission of Financial Statements and Progress Reports.

4.1.4.1 Adoption of Standard Administrative and Financial Procedures

As the T&Es are expected to follow smooth administrative and financial procedures, the field monitor should assess how they are planning and implementing their activities. He/she should find out if there are complaints about the decisions taken by the management because of no rules on some issues or no respect to the existing rules. Form this; he/she should appraise how satisfactorily the administrative procedures were fulfilled. Likewise, the satisfactory fulfillment of financial procedures should also be judged against the universally accepted technical standards maintained in accounts keeping. He/she should examine if the T&E has forwarded payment requests without fulfilling the conditions of contract to be met. If this kind of practice is repeated several times, then the field monitor should take this case as a matter of "Not Compliant with the Requirement". If the assessment of field monitor finds that the T&E has complied with some requirements while missing out the other, such case should be categorized as "Partially Compliant with the Requirement". If he/she is completely satisfied with the standards maintained for the followed procedures, he/she should then classify such case as "Compliant with the Requirements". Based on these assessments, the field monitor should assign relevant rank score across the item listed in the following monitoring template:

Administrative and Financial Standards

- Respect for rules and regulations
- Criteria based administrative decisions
- Double entry accounting system

Monitoring Template – 13
Standards of the Administrative and Financial Procedures Followed

SN	Activity/Process Indicators		Compliance Status		
			NCR (0)	PCR (0.5)	CR (1)
1	Satisfactory fulfillment of administrative procedures				
2	Satisfactory fulfillment of annual financial procedures (e.g. overall audit, tax and VAT)				
	2.1	Transaction records maintained according to the double-entry bookkeeping standard			
	2.2	Reports representing true and fair statement of accounts (i.e. no inclusion of any fraudulent case in the report)			

	2.3	Payment requests dispatched only after fulfilling all conditions of the contract			
3	No exceptional requests on the conditions to be fulfilled under the contract (except for the pre-approvals taken under special circumstances)				

NCR = Not Compliant with the Requirement PCR = Partially Complaint with the Requirement CR = Compliant with the Requirement

4.1.4.2 Adoption of the Norms of Good Governance

It is expected that the T&Es should adopt the norms of good governance in its decision making process. Among others, they should be transparent with regard to their transactions and the implemented activities should not involve fake cases of any kind.

Sharing related information among the key actors (within and across the organization) is necessary. If the activities are sub-contracted, the individuals or institutions (e.g. franchisees or TTPs) should be made well familiar with the terms and conditions of the contract so that there will be no consistency gap in their implementation strategy and reporting.

The accounts of T&E should have been audited by a registered auditor after the end of each fiscal year. They should not keep this task pending for a long time.

Elements of Good Governance

- Transparent transactions
- Related information sharing among the stakeholders
- External audit of financial transaction
- Operational activities and processes free of fraudulent behavior (e.g. no substitute of trainees at different stages of the same training; no claims containing training which was just registered but not implemented; no duplicative sale of any training product to different donors; no decisions involving conflict of interest etc.)

The T&Es should apply Code of Conduct for their staff members so as to maintain cooperation for consistent results.

The field monitor should verify all these aspects. Besides assessment and verification of the abovementioned aspects, the field monitor should also cross-check case-specific conditions at the operational level. It helps to validate the extent to which the administrative procedures followed by the T&E are fine. Some aspects related to such verification are as follows:

i. The field monitor should check whether the training event has involved any substitute of trainee at different stage of the same training programme (e.g. one person appeared in the beginning of training, while another person appeared in skill-testing and/or income verification etc.).[21]
ii. Sometimes, it may be possible that the registered training will not be conducted because of various reasons. The field monitor should therefore verify whether the

[21] The likelihood of such role exchange possibility exits due to livelihoods earning pressure in the family. If the husband is enrolled in a training programme, he may sometimes send his wife for the training and vice versa due to work pressure for earning livelihood. At such situation, a person who attends one training session or any event of the training programme may not continue attending another event. The field monitor should examine if such exchange of candidates prevail. If found occurred, such case should be treated as “Not Compliant with the Requirement”. One of the ways to prevent such exchange is to verify the candidate’s Citizenship Certificate and/or Digital Photo during monitoring.

progress report includes any training, which was registered but not practically implemented. For this, information should be obtained from key informants at the local level.

iii. As different donors are supporting similar types of training in the TEVT sector, the chances of reporting same training to donors in parallel cannot be overruled. The field monitor should verify whether the progress report includes such duplicative cases. He / she should find out this through discussion with key informants at local level. To prevent such reporting, the EFS should share the training related information with other projects (e.g. EIG/USAID, SEP/ADB etc.). It should organize donor coordination meeting to exchange such information, particularly to know who is supporting whom and where.

iv. As most of the T&Es do not have their own core resource persons, most of them rely on part time trainers on contractual basis. Some trainers of this kind have other work pressures too. As a result of such time pressure, they tend to cut their classes short and deliver less session hours than planned. The field monitor should verify if such case exists. To find information on these, they should discuss with trainees and other key informants.

v. The T&Es need to follow rules and procedures in line with the EFS's policy. It is applicable in the case of training organizations and individuals sub-contracted for the training activity by the Training Managers too. The field monitor should examine if the "Code of Conduct" has been properly applied.

vi. Maintaining acceptable accounting standard is important for the T&Es. The field monitor, with the assistance of finance officer of EFS, should make sure that their bookkeeping is maintained with double entry system and financial reports are audited and gives true and fair picture of the up-to-date financial transactions. He / she should make sure that the financial statements are not mixed with any fraudulent transactions. Though this is an aspect to be formally certified under the audit report each year, the financial unit of EFS should occasionally verify this aspect to make sure that the transactions do not involve any doubtful cases.

With the analysis of abovementioned aspects, the field monitor should ascertain whether the T&E is complying with the requirements of good governance practices or not. After such assessment, he / she should apply rank scores across the items stated in the following monitoring template as appropriate:

Monitoring Template – 14
Good Governance Norms and Practices Followed

SN	Activity/Process Indicators	Compliance Status		
		NCR (0)	PCR (0.5)	CR (1)
1	Transparent reports on the implemented activities and their related financial transactions			
2	Sharing of contract associated terms and conditions to the sub-contracted partners (applicable only if the training event is sub-contracted to local partner TTP or franchisee)			
3	Knowledge/clarity of outcome achieving procedures among the field level and other sub-contracted partner organization staff members			

4	Practical application of the "Code of Conduct" at work			
5	Declaration of T&E about "no violation" of operational rules[22]			
	5.1 No inclusion of interchangeably participating candidates (i.e.. one person appearing at the start of training while his/her friend or relative attending in the skills-test or income verification) as an eligibly counted graduate in the report			
	5.2 No reporting of cases associated with the offer of incentive or pressure to express exaggerated figures of the employed graduates' income			
	5.3 No counting of cases of the "registered" but "not conducted" training)			
	5.4 No counting of training events sold to another donor in parallel with EFS			
	5.5 No counting of wrong cases of gainful employment in the report (i.e. no reporting of exaggerated number of gainful income earners despite knowing that the graduate has earned lower income than the specified income threshold)			
	5.6 No conflict of interest (i.e. decisions involving biases to favour someone at the cost of others due to any vested interest)			

NCR = Not Compliant with the Requirement PCR = Partially Complaint with the Requirement CR = Compliant with the Requirement

As some information sought under this section might be sensitive, the field monitor should attempt to ask the questions mildly. To extract the depth of the information, he / she should put forward probe questions where applicable. It should be made clear that the purpose of asking such questions is not to find faults but to provide constructive feedback for improvement, which would ultimately contribute to enhance credibility of the T&E.

4.1.4.3 Data Upload Punctually at Different Stages

The T&Es should upload data on the web harmonized database. The upload should represent complete set of available data relevant to the work-in-progress of implemented activities (e.g. pre-training, training, post-training, income verification etc.). The upload should have been completed without any delay after the data is ready. Two important aspects to be monitored under this section are: (a) Punctuality of the Uploading Data, and (b) Completeness of the Loaded Data.

The field monitor should verify whether the data (which is ready after completion of the implemented event) has been uploaded or not. A time period specified for such upload is one week after the completion of event. If the field monitor finds that it is not uploaded despite the data is available, this should be considered as a case of "Not Compliant with

Effects of Delayed Upload of Data

- No information about up to date status
- No corrective actions for timely improvement

[22] For the conditions stated from point 5.1 to 5.6 assign a composite rank score as follows:

- If all six conditions fulfilled, provide a rank score of "Compliant with the Requirement"
- If 50 percent (i.e. three) conditions fulfilled, provide a rank score of "Partially Compliant with the Requirement"
- If less than 50 percent (i.e. less than three) conditions fulfilled, provide a rank score of "Not Compliant with the Requirement"

the Requirement". If the uploaded data is delayed by one more week (i.e. before the lapse of two weeks' time after completion of the implemented event), such case should be treated as "Partially Compliant with the Requirement". If it is uploaded before the end of first week from the date of completion of the event, it should be categorized as "Compliant with the Requirement".

The field monitor should remember that the verification of compliance to the data uploads should be counted only for the data sets that are ready (i.e. only after completion of the implemented events) at different stages. Therefore, there should be no misunderstanding about the punctuality of upload as well as expectation of completeness of the data. Their verification directly relates to the stage of implementation at which the progress of training and its results stands.

Any decision taken with incomplete data may not be useful to generate effective results

Like in the case of punctuality of upload, the field monitor should also verify if the uploaded data is complete (i.e. without any gap left on the already available data). If it is not complete despite its availability, such case should be treated as "Not Compliant with the Requirement". If it is completely uploaded as per their availability, it should be categorized as "Compliant with the Requirement".

Defining completeness might be arbitrary at some situations. Therefore, the option of "Partially Compliant with the Requirement" should not be applied for this case (i.e. completeness). In view of this, the box allocated for the ranking score of this item has been locked.

Depending upon the assessment result, the field monitor should assign appropriate rank score across the items listed in the following monitoring template:

Monitoring Template – 15
Punctuality and Completeness of the Data Uploads

SN	Activity/Process Indicators	Compliance Status		
		NCR (0)	PCR (0.5)	CR (1)
1	Punctual upload of data into the harmonized database (i.e. within 15 days from the last date of completion of pre-training, training, job placement and income earnings of three and six months)			
2	Completeness of the uploaded data (i.e. without leaving gaps when data is already available)			

NCR = Not Compliant with the Requirement; PCR = Partially Complaint with the Requirement; CR = Compliant with the Requirement

4.1.4.4 Submission of Financial Statements and Reports

The T&Es are required to submit periodic progress reports and financial statements on the expenditures incurred. Four reports to be submitted by them to EFS are: (a) First Three Months' Training Report, (b) Report After Verification of Three Months' Income, (c) Report After Verification of Six Months' Income, and (d) Annual Audit Report. The field monitor should verify whether the T&E has forwarded these reports when they are due. They should not only see the

punctuality of forwarding such reports but their clarity and completeness. He/she should examine whether all information according to the specified requirements are reflected in the report.

(a) First Three Months' Training Report

The T&Es are required to forward this report within one month after the completion of skills test of the training event of the graduates. The field monitor should verify whether it has been submitted timely with information on the names of those forwarded for the test and the ones actually appeared in the test. Among the candidates appearing in the test those passing the exam should also be listed.

(b) Report After Verification of Three Months' Income

Another report to be submitted by the T&E is after verification of three months' income of the graduates. This report should be submitted not later than one month from the date of income verification. It should report verified income results for the selected graduates (i.e. sampled graduates).

Four Major Reports to be Submitted by T&Es

- Three Months Report (one month after skills test)
- Report After Three Months' Income Verification (one month after verification of income)
- Report After Six Months' Income Verification (one month after verification of income)
- Audit Report (3 months after the end of fiscal year)

(c) Report After Verification of Six Months' Income

The T&E should submit another report after six months' of income verification. The deadline for submission of such report is one month from the date of completion of the income verification of particular event. This report should consist of employment and earning status of all graduates for six months.

Upon receipt of the report, the field monitor should compare income figures of the report against his/her observations during the field visit. If there is any mismatch, the field monitor should then discuss the issue with T&E and seek explanations to settle the success rate (i.e. rate of gainful employment).

(d) Annual Audit Report

Submitting audit report at the end of fiscal year is mandatory for all working partners. The deadline specified for its submission is three months after the end of fiscal year.

The Finance Officer should verify whether the T&Es have submitted all reports within the specified deadlines or not. They should examine if the submitted reports are in terms of providing complete required information. Based on these assessments, the field monitor should then assign appropriate rank score to the items of the checklist provided below. If the assessment finds the case as "Not Complaint to the Requirement", it should denoted by a rank score of "0". If it is found fully complied, it should be marked with a rank score of "1" to signify the status of "Complaint to the Requirement".

Monitoring Template – 16
Timely Submission of the Due Reports

SN	Activity/Process Indicators	Compliance Status		
		NCR (0)	PCR (0.5)	CR (1)
1	Submission of first 3 months' training report within one month after the completion of skills test of the training graduates			
2	Submission of second report within one month after the completion of observation of three months' income status*			
3	Submission of third report with classification of gainful and not-gainful employment status within one month after the six months' income verification*			
4	Annual Audit Report after 90 days from the completion of fiscal year			

* Income verification grace period provided for domestic employment is 2 months, while it is 3 months for foreign employment

NCR = Not Compliant with the Requirement
PCR = Partially Complaint with the Requirement
CR = Compliant with the Requirement

4.2 Components of Results Monitoring (i.e. Monitoring of Output and Outcome)

4.2.1 Monitoring of Output

Under this section, the results of compliance to the training activities and processes are verified. This verification is one step further towards the achievement of outcome besides maintaining compliance to the activities and processes under the previous section.

The verification of progress at this level (i.e. output level) represents three types of results generated after successful completion training (a) Total Number of Graduates among the Candidates Enrolled in Training, (b) Graduates with CTEVT Accredited Certificate, and (c) Employment of the Graduates.

Envisaged Outputs

- Graduating candidates among the enrolled trainees
- Graduates achieving CTEVT Accredited Certificate
- Graduates employed after training

(a) Total Number of Graduates among the Candidates Enrolled in Training

Graduates are immediate output generated by the implemented training programmes. They are the candidates ready to go to the labour market for employment.

The field monitor should verify how many of the candidates enrolled in training have graduated. After obtaining the list of those who were enrolled and graduated, he/she should classify the pass out rates categorically (i.e. the percentage of pass outs in Category A, B and C). He/she should also calculate the overall percentage of the success rate (i.e. by dividing the figure of the number of pass outs by the number of candidates enrolled in training multiplied by 100). This calculation also helps to identify the proportion of drop out candidates (which is the remaining

percentage of candidates, who have not graduated; they may include those who failed or did not complete the course due to their several reasons).

(b) Graduates with CTEVT Accredited Certificate

Given that the skills test is made mandatory for all training graduates, they are expected to attend such test. Those who attend the test and demonstrate their success directly/indirectly prove that the training was of CTEVT standard quality wise. As the proportion of those successfully passing out the test will be verified under the Section 3.3.1. of the compliance monitoring component the same success rate will be classified according to the category of training graduates (i.e. category A, B C and D). In doing so, the field monitor should examine, how many of them form each category have been successful in obtaining CTEVT Accredited Certificate. This is an important step forward in the context of demonstrating effect generated by implemented training.

(c) Employment of the Graduates

Employment is a major bridge between the success of training and accomplishment of the project's objective (which is earning gainful income after employment). The more the graduates are employed; greater chances will be there to achieve gainful earning. Therefore, as an entry point to this initiative, employment is a major take-off point leading from output to outcome level. At this stage of verification, the field monitor's should be to simply examine whether a training graduate has been employed or not. This is important because no perfect earning situation can be expected right in the beginning in the case of informal sector.

Though the ultimate intention of such employment is to accomplish gainful income at the end of six months, the concern at this stage should be to see if the graduate has been engaged at work in the subject of training he/she was trained. Similarly, though the duration of employment is important for the achievement of gainful income, the monitoring at this stage should worry too much on the duration of employment and income level. Therefore, the priority for verification in the first place should be whether the graduate has been put to work or not. This should be allowed on a faith that the T&Es would promote employment connection to the best possible, as they know that their incentive is ties up with gainful employment. However, this aspect should be deeply followed by the monitor at the stage of outcome monitoring (i.e. income verification).

Based on the abovementioned considerations, the field monitor should examine proportion of employed graduates by the category (A, B, C and D) at this stage. Further, he/she should examine whether the graduate is engaged in wage employment or self-employment. Likewise, he/she should also verify the nature of their employment (i.e. how many employed in the informal or and formal sector in the case of domestic market based employment and how many in India and overseas in the case of foreign employment.

4.2.2 Monitoring of Outcome

Monitoring of outcome is a crucial part of EFS -T&E collaboration. As the success of the project is judged on the proportion of gainful employment of the youths, all activities and processes followed for training and

> The outcome of the project is "gainful employment", for which an earning threshold is specified.

employment ultimately boil down to the point of gainful income earning after employment of the graduates. Therefore, the focus of monitoring at this stage is confined to income verification.

4.2.2.1 Grace Period

All training graduates may or may not be employed immediately after training. Even if some of them are employed, they may prefer to select better earning opportunity elsewhere, depending upon the level of remuneration offered by the enterprise. To facilitate this process, EFS has provisioned a grace period of maximum two months for domestic employment and three months for foreign employment. Such grace period provides options for the T&E to select best six months' income after employment (i.e. out of 8 months after training for domestic employment and 9 months after training for foreign employment). These time slots provide opportunity for the training graduates to move from one low paying job to another better paying job, while allowing them to work for agriculture during the peak season such as paddy plantation. Such movement is important especially for those, who start their work at a low rate in the beginning.

The grace period should be specified by T&E for each employed training graduate. It will then be reported to EFS before three months income is verified. In this course, the T&E should decide which month of income they want to count and which one should be skipped as "non-countable" income. Based on such report of the T&E, the EFS will first verify three months' income and then six months' income.

During verification of six months' income, the EFS will refer to three months' selected income first and then look for the income of remaining another three months to make the total as cumulative of six months. In doing so, the income reported and verified earlier for three months will remain the same without any change of figure ((e.g. if one of the verified incomes covered under three months in January was Rs. 2,500.- it will remain the same while verifying six months' income for that particular month).

4.2.2.2 Extrapolation of Results

It may not be possible for EFS to physically cover all T&Es and verify their ongoing events, processes and gainful employment status due the large volume of work. Therefore, the EFS will have no choice except to follow the methods of random spot-checks and sampled income verification process for the gainfully employed training graduates reported by the T&E to make it more manageable within the limited capacity of field monitors it has, Such sampling process is accompanied by the principle of extrapolation of results. This means that the results revealed from the samples will also be applicable for the remaining size of the "population universe", which is not included in the sample.[23]

> To extrapolate is to use the known behavior of somebody to predict the unknown behavior of others.

If a T&E launched training for 1,500 candidates but got success in linking gainful employment for 1,200 graduates only, its reported success rate (from the gainful employment perspective)

[23] Extrapolation method is one of the techniques of inferring the "unknown" from something that is "known". It provides technical estimate of the value of a variable outside the observed range. It the achievement size on the basis of sampled observations. The "extrapolation technique" is often considered a better choice where the circumstances do not a long-established .

will be [(1,200/1,500 x 100)] = 80 percent. After receiving such report from the T&E for this training lot, the EFS will draw a sample from 1,200 gainfully employed graduates as per the claim of the T&E concerned. If findings from the drawn sample indicates only 50 percent graduates gainfully employed, then the successful employment rate counted for this lot will be 50 percent of the figure originally reported by the T&E. Taking this finding as a norm of success rate calculation, the EFS and T&E will then extrapolate the number of gainful employment for the whole lot reported as gainfully employed. Continuing with the same example, the success rate of gainful employment in this case will be 50 of 1,200 (i.e. 600). With such calculation, the incentive for the T&E will then be paid 600 graduates only (instead of 1,200 claimed originally). In all cases, the discrepancies will be adjusted after the joint verification of six months' income.

4.2.3 Sampling for Spot-checks and Income Verification

The compliances and work-in-progress will be monitored by applying different methods such as analysis of web-loaded database harmonized for the use of both T&Es and EFS, random spot-checks and selected purposive visits. For spot-check, the T&Es will be selected through the application of random sampling technique. In the case of purposive visits, the T&Es will be selected in view of the inconsistencies and non-compliances emerged against the basic requirements.

Advantages of Taking Random Samples

- As all have equal selection probability, it reduces the risk of being biased
- Contributes to save travel time and cost
- Allows to test the trend
- Can be considered representative

The results of monitoring observed from the sampled verification of events will be extrapolated to describe the performance trend at the aggregate level. For this purpose, samples will be drawn from all representative strata such as: (a) Gender, (b) Caste/ethnicity and (c) Trade (d) level of training (e) donor wise segregation. Two-stage sampling methods will be applied. At Stage – I, total sample size will be decided from the training lot fist i.e. Determination of Sample size with 95% confidence level and 5% Margin Error. It will then be proportionately distributed according to the representative strata at Stage – II i.e. Proportionate distribution according to the representative strata (Stratified Random Sampling used by EFDS).The detail of the procedure is elaborated in annex-2.

Samples will be drawn covering different stages of training and employment separately (e.g. samples for the pre-training lot, training lot, post-training lot and the income verification lot). The size of the sample will be determined in view of maximum representation possibilities compared with the staffing strength of EFS for monitoring.

Considering the possibility of multiple intakes of samples from different lots of training caseloads, estimated requirement of the representative sample size has been established. The total sample size for 6 months verification will be in the range of 30% to 40% normally. The population may be combined for more than one T&E if the population is less than 700 people in order to draw the appropriate sample size in the above range.

It is determined in view of the population universe of around 700 caseloads requiring a sample size of 248 (i.e. 35%) each time at 95 percent confidence level and 5 percent standard margin of error.[24] If an extra sample of 10 percent is added for the provisional cases of substitution of

[24] Sample Size Calculator, Creative Research System; www.surveysystem.com

non-availability of some respondents during the time of verification another 25 samples should be added to the list, which makes the total sample size as 273 (out of 700 as the population universe). This sample size can then be proportionately stratified according to the categories to be classified. In the case of applying substitutes if the main sampled candidate is not available, he or she should be replaced from the list of provisional sample in an ascending order.

4.2.4 Income Verification

The field monitor should verify income of the employed graduates at two stages: (a) Three months, and (b) Six months.

4.2.4.1 Three Months' Income Verification

Three months income verification will be carried out after the employed graduate receives an earning on third month through self, wage or salaried employment connection. Such three months' period will be counted excluding the grace period (if required) specified by the T&E and as informed to the EFS well in advance. The field monitor should discuss the specified months followed for the particular graduates, who are selected in the sample. Then he / she should verify the income figure for the specified months. The income verification interview should be taken with the employed graduate as first choice, where the graduate's version will be considered valid irrespective what was reported by the T&E earlier.

The "grace period" for a graduate's three months' income verification can be applied with one of the following options according to the preference specified by the T&E:

(a) Counting of income from third month after the completion of training or
(b) Counting of any three months of income out of the best earning of five months.

These options are illustrated in the following table:

Table - 5: Options for the Application of "Grace Period" for Income Verification

Option - I	Option - II
Grace period	Income of the month – 1
Grace period	Income of the month – 2
Income of the month – 1	Income of the month – 3
Income of the month – 2	Income of the month – 4
Income of the month – 3	Income of the month – 5

Once three months income is verified with the application of grace period, the verified figures should be locked into the database not to allow any change in the verified figures. However, such locking will not restrict the graduate to move to another location of employment for higher income for the remaining months.

The purpose of three months' income verification is to see if the earning trend of the employed graduate is likely to meet the specified income threshold by six months. Depending upon the

need, the field monitor should suggest improvement if the current level of earning is low. The verification of income should be undertaken by the employment types such as self-employment or daily wage earner or monthly salaried worker etc. He/she should analyze the earning trends by the nature of employment such as informal and formal sectors for the domestic-market employment, India and the overseas.

For the three month verification, the sample will be drawn among all graduates who are reported by the T&E to be gainfully employed. The sample size for 3 months verification will be 10-15% of the trained which will be drawn randomly. Regarding the employment determination, graduates who are out of the EF target group from education, age and economic criteria will be considered automatically as 'drop out' even if they are at work and earning sufficiently. But, in case of graduates found lesser income than threshold will not directly counted as a 'drop out' of three month verification. The income record of those graduates will be taken in to account during six month's verification, if they will comes under random sample. If they will not come under random sample of six month verification, they will be treated as universe or whole population.

4.2.4.2 Six Months' Income Verification

The verification of six months' income is crucial because of its financial implications on the incentives to be paid to the T&Es. The validity of the success rate claimed by the T&E should be carefully examined with authentic as well as accurate evidences. The verification process should be organized into the following seven steps:

- Step – I: Look at the claims forwarded by the T&Es about the number of gainfully employed graduates;
- Step – II: Draw random samples from this number;
- Step – III: Organize Joint Verification Team (comprised of EFS and T&E representatives and the employed graduate meeting the specified income level (as indicated in the T&E's claim);
- Step – IV: Personal interview of the graduate at his/her place of work for verification of claimed income;
- Step – V: Cross-check with key informants, if reported income is considered doubtful;
- Step – VI: On the spot completion of Income Verification Form (stating the position of gainful or not gainful income status of the interviewed graduate); and
- Step – VII: Signature on the agreed upon Income Verification Form from the Joint Verification Team members (T&E and EFS representatives including the graduate).

The field monitor should obtain information from direct as well authentic source. The application of proxy sources will be less effective in the absence of reliable triangulation mechanism. Therefore, it is useful to follow the concept of "optimal ignorance"[25] unless there is a need for further verification in case of any doubt on the authenticity of the collected information. Thus, Income verification by phone or only with other means of communication as well as through third persons (e.g. employer) is accepted in very exceptional cases.

[25] More information obtained from more sources is not always good as it involves the difficulties of drawing inference. When there is no mechanism for an authentic triangulation, it becomes more complicated to determine the discrepancies when they appear. In view of this, it is advised to minimize the use of proxy sources and rely on direct source as the limit of "optimal ignorance".

The success rate of "gainful employment" is directly related to the type and location of job accessed by the training graduate. The field monitor should verify the income figures in view of these:

Table - 6: Minimum Income Threshold Specified for "Gainful Employment" Under Different Employment Categories

Type of Employment	Monthly Rate (For Six Months)	Total (By the End of Six Months)
A. Domestic Market Based Employment		
Elementary level training	Rs. 3,000.-	Rs. 18,000.-
Level 1 training	Rs. 4,600.-	Rs. 27,600.-
B. Foreign Market Based Employment		
India	Rs. 7,000.-	Rs. 42,000.-
Overseas (Other than India)	Rs. 15,000.-	Rs. 90,000.-

The income level of a graduate may be different for different months due to the nature of employment accessed. In view of this, income should be verified looking at the total earning at the end of six months.
Graduates who are out of the EF target group from education, age and economic criteria will be considered automatically as drop out even if they are at work and earning sufficiently.

During income verification EFS will monitor the total 6-months income of the graduates in Nepalese Rupees. If a T&E completes a training event less than six months before the final reporting date, EFS will monitor the total income not the average income during the months up to final reporting date. In the case of self-employment of the graduate, his/ her gross profit will be monitored (i.e. income after deducting the direct cost). The following fringe benefits and income are not applicable to be counted as income:

1. Goods and/ or services produced by the trainee during the training;
2. Food, accommodation and/ or clothing provided by the employer in kind;
3. Reduced expenditures of the graduate due to employment and creation of own assets which are not for sale.
4. Income earned by other family members/friends in case of joint enterprise or business
5. Income earned from other trades then the trained trade/occupation.

Other fringe benefits not mentioned here are subject to approval by EFS in order to be counted towards the total amount of income.

4.2.5 Handling Variation of the Reported Incomes

The income verification process might encounter both intentional and unintentional issues. As the training incentive is tied up with the number of graduates obtaining gainful income, there may be a tendency of implementers to put pressure or provide reward to the training graduates for reporting their income as gainful despite it is lower. Such situation complicates validation of income verification. The monitoring person should be alert about such possibilities while going

through the monthly income figures mentioned by the employed graduate. If it is recorded in the booklet distributed at the end of training, it should be verified. The monitoring person should also ask the training graduate about whether he / she had faced the pressure or any kind or received special incentive for reporting higher income than actually earned. If in doubt, he/she should even ask some probe questions to go into the depth of the issue. Further, he / she should also check in the market whether the stated rate of earning prevails in the place where graduate is working (especially applicable when it is the case of wage or salaried employment). Sometimes, the reported income may be incorrect because of closeness of the earning to the specified income threshold. If there are different income assessors, they may report such closeness differently in the absence of adequate knowledge about how EFS treats it. Some of them may include monetized value of fringe benefits in income, while the other might think the gap between specified level and the closeness reached will be bridged by the time the income is verified. To be clear on how it was done and who did it, monitoring person should seek adequate information about the way it was recorded and reported. He / she should directly verify the income from the graduate irrespective of what is reported. He / she should cross-check the figures from the local key informants, if in doubt.

The income verification becomes debatable if the reported figures are prepared under different assumptions (e.g. monetized value of fringe benefit counted as income; cost of family labour not included while calculating the net income; pocket money taken from the income basket of family enterprise; income calculated without payment of wages to others working in the enterprise etc.). During verification, the field monitor should find out if the reported income is blurred with any dilemma. If no, how it was interpreted and whether the interpretation is consistent with what the EFS has been defining. He / she should verify whether the reported incomes are also consistent with the terms and conditions of the contract signed between T&E and EFS. Discuss how the income was derived in each case will always be useful for the field monitor to fully understand the envisaged quality of its reporting.

When income of a graduate is cross-checked with the employer, sometimes it may involve exaggerated reporting as well. It is mainly possible because some employers have a tendency of reporting higher expenditure on their side for the sake of his / her own pride or for some other reasons. If in doubt, he / she should cross-check the figure from the prevailing wage / salary rate from the local market.

Experience indicates that the income verified in a group often shows almost the same level of earning. Therefore, the field monitor should not verify income of the employed graduates in group. He / she should discuss with them individually.

One staff member of the T&E must be present at all times in order to observe the verification and co-sign the employment and income verification form. Incase EFS realizes that T&E has influenced the graduates and verification process, EFS will deploy the third party monitor to do such verification independently without the presence of T&E nor EFS.

4.2.6 Monitoring of Decent Work Standard

EFS uses pre-defined income levels as the most important criteria for measuring the employment outcome of the training programs. However, in wage employment the salary is not the only outcome indicator for the quality of the work life of the graduates. Work conditions respecting national and international basic standards of fair remuneration, labour rights, health and safety also have to be ensured. In the EF program mainly home-based per piece

contracting and factory based trades are most vulnerable for violations of decent work standards. So EFS is trying to develop Decent Work Standard for certain trades which are highly vulnerable. Furthermore, in these trades T&Es have to provide adequate pre-training counseling to applicants interested in such trades and conduct an orientation on decent work standards to the trainees. Details of enlisted occupations are placed in annex-6.

4.2.7 Re-monitoring and Re-verification

If the T&E disagrees with the results from the monitoring during pre-training, during training, during 3 months and 6 months employment and income verification as well as from the sampling and extrapolation process, it may send a written request to EFS to conduct a re-verification on another random stratified sample or the whole population. However, all the costs of such re-verification (including work time of EFS staff) have to be fully borne by the T&E requesting for the re-verification irrespective of the outcome of such re-monitoring or re-verification.

4.2.8 Third party monitoring

EFS will contract a third party with the task to monitor its monitors and the performance of the T&Es on a random basis as appropriate.

4.2.9 Tips to Make Income Verification Process Effective

As asking income is a sensitive issue, the monitoring person, whether in a Joint Monitoring Team or all by himself / herself, should be careful in seeking information from the employed graduates. He / she should apply Psycho-social approach to make the interaction process more effective during the interview. Following tips might be useful for effective interviews:

a. Open the Interview Process

- Take a list of sampled graduates along.
- Learn about the graduate you are interviewing first.
- Identify his / her social caste, engaged nature of the work and income.
- Explain purpose of taking his / her interview.
- Assure him / her that the information provided will be used for learning purpose without pointing out anybody's personal name.
- Assure him / her that its use will not hamper his / her activities of any kind in the future.
- Tell him / her that you are there to know his / her stories and also know how things can be improved in future.
- Start with informal conversation making the respondent comfortable in answering questions.

b. Maintain Sensitive Behavior During Interview

- Maintain gender sensitiveness during interview.
- Use soft words with due respect to the interviewee.
- Take seat at the graduate's level (do not give a feeling that you are different).
- Maintain eye contact (but do not embarrass by staring at him / her)

- Put forward mild questions with smile (not as an interrogation).
- Do not bombard with too many questions in a short time.
- Maintain enough patience to wait for direct and indirect answers.
- Ask probe questions relating with the answers provided.
- Behave like you are his/her friend
- Listen more than you make the respondent listened.
- After listening, show your interest and agreement in the answer (by nodding head or agreeing to what he / she said). Repeat answers given by the respondent and encourage him/her for further discussion by seeking agreement on what was said earlier.
- Do not give any false allurement during conversation.

c. Assess Information Quality

- Observe living conditions of the graduate (as can be seen from the surroundings - e.g. house condition, clothing, cleanliness etc.).
- Sense validity of response on employment and income status.
- Cross-check income from other sources, if found unrealistic.
- Use contract paper as a verification source for income earned from foreign job.
- Do not monetize the fringe benefits in counting the value of income.
- Do not count income of family products, which is not sold commercially (e.g. for items used in the family).
- Count income earned only from the job the graduate accessed in the subject of training attended.
- Consider movement of graduates from one employer to another (provided the work is related to the subject of training).
- For the graduate moving from one category of employment to another (e.g. from informal to formal sector or from domestic to foreign job), apply applicable rates accordingly for each duration covered by different nature of employment. (e.g. if worked for informal sector for two months use a rate of Rs. 3,000.- and if he / she has gone to India for four months, then use a rate of Rs. 5,000.- per month)
- If interview is taken by telephone, keep the set on “hands free” mode to allow others members representing Joint Verification Team to listen too.
- Do not let any other person to dominate the graduate’s response during interview.
- Take picture or video clip of the interview.
- Find the sampled respondent’s substitute if the one selected in the first lot is not available (The limit for such substitute will not be more than 10 percent of the total sample size).
- Do not entertain proxy response (i.e. interview with friends and relatives) as a substitute to direct interview (i.e. with the employed graduate).

d. End Interview

- End conversation with thanks. Mention that the information provided by him/her is useful for planning future “training for employment” activities

e. Finalize Interview Results

- Realize that the validity of income rests on what the graduate says in front of the Joint Verification Team (irrespective of what was recorded and reported earlier).
- Count income only if the graduate has done at least 50 percent skills related work (e.g. no count of plastic furniture sold by a carpenter).
- Fill Income Verification Form on the spot.

In addition to the above tips, a guiding template for the “trainee selection interview- Nepali font” is attached with this guideline. The template was synthesized by observing the different practices by the T&Es in different locations and finally validated by workshops among T&Es and EFS team. The template is placed in annex 7.

4.2.10 Emerging Cases and Issues of Specific Nature

Different workshops held with participation of EFS and T&E representatives, revealed several income verification issues. Some of these issues were simply originated through the perceived grievances of individual T&Es (irrespective of the requirements to be complied with the terms and conditions of the contract), while the others were emerged as a result of unexpected situation. The issues, which complied with the requirements of the contract but emerged as an unexpected situation might require case-specific investigations to justify special treatments. The Monitoring Guideline should remain alert about such possibilities. Therefore, the monitoring person involved in the verification of income should follow a practice of discussing such typical events at the EFS management meetings. The meeting can then take necessary decision about the case-specific treatment, if they are the issues deserving reflection under special circumstances. List of “What Ifs” Related to Six Months’ Income Verification Raised During the different workshops with EFS and T&Es are enlisted in annex-3.

V. CONCLUSION

Monitoring contributes to learn different ways of achieving project outputs and outcomes. It guides adoption of efficient and effective implementation process for the delivery of services. The advantage of having effective monitoring system is multiplication of successful experiences in practice which gears the progress of targeted activities constructively. Monitoring is a central yard stick justifying the quality of work.

The monitoring system works better when concerned stakeholders understand each other's supportive role in taking forward the project's objective. The system contributes to objectively verify deviations in the delivery of training services and their possible effects on gainful employment success rates. It contributes to disclose both good and poor performance related information, which might encourage or discourage the implementers depending upon the level of success. As monitoring is a tool contributing to constructively find a way forward for better results, they should not be disheartened. Rather its lessons should be utilized to promote constructive processes for the implementation of targeted activities.

The role of monitoring is important in pulling together the strengths of all stakeholders to in achieving a common goal. Its lessons are particularly useful in avoiding mistakes while attempting to replicate the success many folds. Monitoring provides objective-focused working direction to all actors. It is believed that both T&E and EFS benefit significantly by having a commonly owned monitoring system in their collaborations.

Attempt has been made to make the proposed monitoring guideline context friendly, as it does not require additional procedures for data collection other than what the T&Es are currently doing and reporting. In this sense, it is both time and cost effective. It helps the project to steer the planned and implemented activities thereby shaping the direction for delivery of inputs towards the achievement of envisaged outputs and outcome.

As the outcome-based financing practiced by EFS is a new concept attempted in the Nepalese context, its monitoring system might encounter various new challenges and opportunities at the earlier stage. To confront with such possibilities, the implementation of this guideline will be significantly useful. At first, it would be useful for piloting its implementation. Its effectiveness should then be reviewed after its application for a complete training cycle. Such review will provide opportunities for both EFS and T&E to integrate improved principles and practices as suggested by their implementation experience of the current outcome-based financing approach.

Annex-1

T&E – EFS Code of Conduct

Why a code of conduct

This code of conduct has been prepared to strengthen effective working relations between the T&E and the Employment Fund Secretariat (EFS) and maximize the results of work of the Employment Fund (EF). EF wants to ensure that its Secretariat as well as the T&Es are applying and communicating a coherent and transparent set of values and rules of doing business which aim at ensuring efficiency and effectiveness of development aid channelled through the Employment Fund, impartiality and transparency in its service provision and enhance its outreach for the maximum benefit of the disadvantaged young women and men. This Code of Conduct has been jointly developed with the T&Es and outlines the conduct and behaviour all partners of the EF agree to follow. It does not reiterate norms and regulations already laid down by the Nepalese legislation.

This Code of Conduct forms an integral part of the contract between the EFS as well as its partner T&Es and is binding for all staff involved in implementing activities of the EF. It is a task of the management of each T&E to ensure appropriate information of its staff on this Code of Conduct and its observation throughout the service delivery. As the work of any staff employed either in an International NGO or in a private sector enterprise often attracts interest by the public it is particularly important to follow this Code of Conduct not only during work but also during leisure.

General values and rules of doing business of the Employment Fund

The EFS and its partner T&Es agree to

- Put the advancement and empowerment of the disadvantaged youth as highest priority by ensuring high efficiency, effectiveness and maximum use of the available funds for the direct benefit of the primary stakeholders;
- Share the joint responsibility of advancing the Employment Fund and its development objectives by stimulating and supporting each another;
- During service procurement and delivery ensure visibility in the public of the Employment Fund as an organisation and its donors;
- Base all communication to the stakeholders on facts or refer to a person/ organisation who disposes of the respective information;
- Treat each another as equal development partners instead of dependent recipients and funding provider;
- Stimulate a cooperative and transparent spirit of collaboration between the staffs of the EFS and the T&Es on the basis of mutual respect for the work of each staff member;
- Build up a relationship of trust and transparency while retaining confidentiality on internal business secrets.
- Apply the principles of the psycho-social approach when interacting with the stakeholders;
- Refrain from influencing trainees or graduates during any stage of service delivery and particularly during the income verification
- Openly discuss shortcomings and challenges in order to find mutual solutions ultimately benefitting the disadvantaged youth;
- Ensure the transparency of the financial transactions and administration of EF funds;

- Strive for highest levels of public accountability while considering region-specific limitations for transparency;
- Be a role model for inclusiveness and strive for workforce diversity with appropriate representation of gender and discriminated groups;
- Settle business disputes through mutual consultations in an amicable and lawful manner.
- Adhere to the principles outlined in the Basic Operating Guidelines.

Specific rules of conduct for EFS

EFS ensures during its collaboration with the partner T&Es to:

- Share information consistently among all T&Es and treat all T&Es based on their performance and results equally and without bias;
- Take into account the T&Es performance, commitment and results during the procurement of services;
- Refrain from contracting more than one T&E in a same location with the same trade;
- Build the capacity of the T&Es through training and individual coaching in order to ensure efficient and result-oriented service delivery;
- Timely and transparently communicate any changes in its policies of service procurement and implement these accordingly;
- Regularly visit the T&Es in the field and give constructive feedbacks;
- Guarantee timely payment of claims that were submitted as per the standards and procedures of EFS as mentioned in the contract
- Maintain inter organizational confidentiality among the competing T&Es with due respect to their corporate rights.

Specific rules of conduct for T&Es

The T&E ensures during its collaboration with EFS to:

- Maintain highest standards of service delivery at fair and competitive prices;
- Propose training measures based on realistic and professionally conducted Rapid Market Appraisals in order to ensure the highest possible outcome;
- Ensure a transparent and bias-free announcement and selection of trainees by applying the pre-defined selection criteria of EF;
- Provide appropriate safety measures during training and ensure access to sufficient and appropriate training materials, tools and equipment during theoretical and practical sessions;
- Provide hands-on and relevant life & business skills training, counselling, job placement and credit linkage support to the trainees who are in need in order to give them choices and a chance to find an appropriate and sustainable workplace;
- Conduct skill test immediately after the training, collect certificate within two months of the skill test and handover skill test certificate to the graduates immediately without any delay.
- Do not keep hold the citizenship certificate (or passport) of the trainees during the training.
- Realistically assess own capacity and competence, respect other T&Es capacity and competence and strive to learn from more advanced T&Es;
- Coordinate with other T&Es operating in the same district(s) and/ or training programmes in similar trades in order to exchange experiences, strive for a win-win situation and avoid unhealthy competition;
- Maintain high standard of training as envisioned in M&E guideline to achieve the outcome.

Final provision

This Code of Conduct reflects the state-of-art at the time of its writing. EFS will strive to update it jointly with its partner T&Es when needed.

Annex-2

Sample size calculation for Employment & Income Verification

There are various formulas for calculating the required sample size based upon whether the data collected is to be of a categorical or quantitative nature (e.g. is to estimate a proportion or a mean). These formulas require knowledge of the variance or proportion in the population and a determination as to the maximum desirable error, as well as the acceptable Type I error risk (e.g., confidence level).

It is possible to use one of them to construct a table that suggests the optimal sample size – given a population size, a specific margin of error, and a desired confidence interval. This can help researchers avoid the formulas altogether. The table below presents the results of one set of these calculations. It may be used to determine the appropriate sample size for almost any study.

Note that all of the sample estimates discussed present figures for the largest possible sample size for the desired level of confidence. Should the proportion of the sample with the desired characteristic be substantially different than 50%, then the desired level of accuracy can be established with a smaller sample. However, since you can't know what this percentage is until you actually ask a sample, it is wisest to assume that it will be 50% and use the listed larger sample size.

The number of sub-groups (or "comparison" groups) is another consideration in the determination of a sufficient sample size. Since the parameter must be measured for each sub-group, the size of the sample for each sub-group must be sufficiently large to permit a reasonable (sufficiently narrow) estimation.

Treat each sub-group as a population and then use the table to determine the recommended sample size for each sub-group. Then use a stratified random sampling technique within each sub-group to select the specific individuals to be included.

The formula used for these calculations was:

Sample size (n) = $$\frac{\chi^2 * N * (1-P)^2}{ME^2 (N-1) + \left(\chi^2 * P * (1-P)\right)}$$

Where,

n = required sample size

χ^2 = Chi square for the specified confidence level at 1 degree of freedom (Value* 3.841 for 5% confidence level with 1 degree of freedom)

N = Population size

ME = Desired Marginal error (expressed as a proportion)

P = Probability of success (0.5 value for unknown population)

Q= (1-P, i.e. 0.5 value for unknown population)

Remarks: *This formula is the one used by Krejcie & Morgan in their 1970 article "Determining Sample Size for Research Activities" (Educational and Psychological Measurement, #30, pp. 607-610).*

** From Donald B. Owen, Handbook of statistical tables, © 1962 Addison- Wesley Publishing Co.*

The **confidence level** tells you how sure you can be. It is expressed as a percentage and represents how often the true percentage of the population who would pick an answer lies within the confidence interval. The 95% confidence level means you can be 95% certain; the 99% confidence level means you can be 99% certain. Most researchers use the 95% confidence level.

The **Margin of error** (also called **confidence interval**) is the plus-or-minus figure usually reported in newspaper or television opinion poll results. For example, if you use a confidence interval of 5 and 47% percent of your sample picks an answer you can be "sure" that if you had asked the question of the entire relevant population between 42% (47-5) and 52% (47+5) would have picked that answer.(http://www.surveysystem.com/sscalc.htm)

Many researchers (and research texts) suggest that the first column within the table should suffice (Confidence Level = 95%, Margin of Error = 5%). To use these values, simply determine the size of the population down the left most column (use the next highest value if your exact population size is not listed). The value in the next column is the sample size that is required to generate a Margin of Error of ± 5% for any population proportion.

A. Stage- I: Determination of Sample size with 95% confidence level and 5% Margin Error

Required Sample Size

Confidence = **95.0 %**

Population Size	Degree of Accuracy/Margin of Error			
	0.05	**0.04**	**0.025**	**0.01**
10	10	10	10	10
20	19	20	20	20
30	28	29	29	30
50	44	47	48	50
75	63	69	72	74
100	80	89	94	99
150	108	126	137	148
200	132	160	177	196
250	152	190	215	244
300	169	217	251	291
400	196	265	318	384
500	217	306	377	475
600	234	340	432	565
700	248	370	481	653
800	260	396	526	739
900	269	419	568	823
1,000	**278**	440	606	906
1,200	291	474	674	1067
1,500	306	515	759	1297
2,000	322	563	869	1655
2,500	333	597	952	1984
3,500	346	641	1068	2565
5,000	357	678	1176	3288
7,500	365	710	1275	4211

The recommended sample size for a given population size, level of confidence, and margin of error appears in the body of the table.

For example, the recommended sample size for a population of 1,000, a confidence level of 95%, and a margin of error (degree of accuracy) of 5% would be 278.

Change these values to select different levels of confidence.

Change these values to select different maximum margins of error.

Change these values to select different (e.g., more precise)

B. Stage II: Proportionate distribution according to the representative strata (Stratified Random Sampling used by EFDS)

Strata:

Category
Gender
Trade

Total Clusters

Total Category X Total Gender X Total Trade
Total Trainees: 300 **(for example)**
Total Category: 3
Total Gender: 2
Total Trade: 5

Sampling Percent: 30
In this case, system divides all 300 trainees into 3X2X5=30 clusters
Combination will be as follows:

1. A Male Trade1
2. A Male Trade2
3. A Male Trade3
4. A Male Trade4
5. A Male Trade5
6. A Female Trade1
7. A Female Trade2
8. A Female Trade3
9. A Female Trade4
10. B Female Trade5
11. B Male Trade1
12. B Male Trade2
13. B Male Trade3
14. B Male Trade4
15. B Male Trade5
16. B Female Trade1
17. B Female Trade2
18. B Female Trade3
19. B Female Trade4
20. B Female Trade5
21. C Male Trade1
22. C Male Trade2
23. C Male Trade3
24. C Male Trade4
25. C Male Trade5
26. C Female Trade1
27. C Female Trade2
28. C Female Trade3
29. C Female Trade4
30. C Female Trade5

Each cluster contains 10 Trainees. Then it randomly selects 30 percent of trainees from each cluster. If sampling figure becomes decimal value because of sampling percent, number will be rounded to non-decimal figure

Annex-3

List of "What Ifs" Related to Six Months' Income Verification Raised During the Workshops Held at Chitwan, Dhulikhel, Kathmandu and Nepalgunj

1. If EF and T&E representatives do not agree with the verified income result and one party refuses to sign the form.
2. If the gainfully earning graduate does not give right answer due to interrogative questions asked by the income verifier of EF in a harsh manner.
3. If the gainfully earning graduate is employed only for 6 months.
4. If all training graduates report same gainful income during verification.
5. If the graduate is found overage at the time of income verification (e.g. above 24 for AGEI and above 35 for others) but has earned gainful income.
6. If the graduate reports gainful employment but the income verifier sensed "doubtful".
7. If the graduate was earning Rs. 3,000.- per month for four months but migrated to another place after her marriage. Now she is not working.
8. If the gainful income earning graduate dies before the verification of six months' income.
9. If the graduate's income in the three months' verification period is already gainful to meet the requirement of even six months.
10. If a woman graduate working with gainful income for four months delivers a baby and could not complete six months' earning.
11. If the gainfully earning graduate changes the venue of his / her work after 2 months.
12. If the graduate is found to have passed SLC only during income verification but has gainful earning.
13. If the graduate earning gainful income has migrated but has not left his / her contract address.
14. If the graduate has not appeared skills test but is earning gainful income.
15. If the graduate has given address for his / her migrated place but is not available while attempting to contact.
16. If the company where the graduate was working has been closed but he was earning gainful income for 4 months.
17. If the graduate earning gainful income cannot correctly report his / her income during verification.
18. If the graduate is working in the remote area where travel becomes costly both time and money wise.
19. If income verification of the gainfully employed graduate is delayed by several months and he / she is not currently available for interview.
20. If the graduate's current level of earning is very close to the specified income threshold but the cut-off point of six months' has passed already.
21. If the graduate is not available for income verification due to emergency situation (e.g. death of someone at home, sickness, unable to return from another place due to Bandh etc.).
22. If the graduate's cash income is below Rs 3000.- but with monetization of the fringe benefits his / her income exceeds Rs 3000.- per month.

23. If the graduate's enterprise is family owned and is making profit sufficient to meet the gainful income requirement per capita but he / she is given a pocket money of Rs. 500.- per month only by the head of the household.
24. If the gainful income earning graduate is trained for one trade but works differently (e.g. a carpenter is selling the plastic furniture or a mason fitting the tiles).
25. If the gainful earning of the self-employed graduate goes to the family basket, which is contributed with the work of other family members too and none of those family members are financially paid.
26. If the graduate earning the gainful income for four months becomes seriously ill in the fifth month and cannot meet the specified income threshold of six months.
27. If the graduate reports he / she has earned gainful income for six months but his / her parents do not think so, as he / she is p[oiled person who does not give any money to his / her family.
28. If the graduate has worked for less than 6 months but earned gainful income adequate for six months. However, he is jobless during the time of income verification.
29. If the graduate earns gainful income from a different occupation but claims that it is mainly the contribution of life skills training though he / she did not use the learning acquired from business skills training at work.
30. If the graduate earns gainful income but lavishly spends for alcohol depriving his family members to benefit from it.
31. If the graduate has made long-term investment for self-employment and the time for its return is not ripe yet but the business plan indicates potential for gainful income after six months.
32. If the graduate saves his / her expenditure (equivalent to a level of specified income threshold) by doing the household work himself / herself (For example, instead of hiring someone external, a mason builds his own house).
33. If the graduate's gainful income is already due but he / she has not received the payment yet.
34. If the graduate quits job after three months' income verification but his / her income is already sufficient to claim as gainful income for six months.
35. If visa of the graduate for foreign employment is delayed even after 3 months' grace period. However, he / she still has possibility of earning gainful employment.
36. If the graduate was working with gainful income before but her husband did not allow to work after marriage.
37. If the graduate is gainfully earning but the income verification found that he / she was not an eligible candidate.
38. If the self-employed graduate earns gainful income but it is without deduction of monthly interest against the loan he / she has taken from the bank.
39. If the income earned by the graduate is from a group activity organized by women as leisure time workers (where all do not devote equal time and maintain individual time sheet). The group's income is sufficient to claim gainful earning per capita but them graduate may not get such average amount when the details are calculated later.
40. If a graduate is not happy with the T&E and intentionally says low income despite gainful earning.

41. If the gainful income earning of the graduate gives wrong answer due to misleading questions asked by the income verifier (e.g. asking “what are you doing now” by telephone; the graduate may say “I am sleeping or taking rest”, which does not clarify the work he/she is doing including the gainful income earned).
42. If the gainful income earning graduate’s enterprise is destroyed by natural calamities few weeks before his / her income verification.
43. If the gainful income earning graduate has to report her income in front of the male members of the family (e.g. husband or father-in-law), who is addicted to gambling or alcohol. She may not speak truth about her earning because of the fear that her husband or father-in-law might ask for money.
44. If the gainfully earning graduate does not wait for the income verifiers to come to his / her work place even after he was contacted over the telephone.
45. If the gainfully earning graduate is habituated with “support-seeking tendency”. In the hope of getting further assistance, he / she may report low income despite earning the gainful income.
46. If the gainful salary earning graduate is not available during the income verification takes place but his / her co-worker and enterprise manager report gainful income figures.
47. If the graduate reports gainful income during the verification conducted by T&E but reports lower income when a strange income verifier comes from EF.
48. If the graduate moves after the skills test without leaving his / her address. However, his / her friends and relatives report that he/she is earning gainful income in the place he / she is working.
49. If the graduate earns gainful income for four months but suddenly goes mad after fifth month of his / her work without meeting the gainful income requirement of six months.
50. If the graduate refuses to work despite the enterprise offers him / her gainful salary.

Annex- 4

List of Occupations eligible only for Women participation below Intermediate level of Education

The women participation rate in the EF trainings dropped from 57% in 2009 to 51% in 2010. The T&Es are struggling to improve their outreach to young women. Upon close surveillance, it has been revealed that majority of the trades that are women friendly, are also of low income trades like hand embroidery, housekeeping, assistant beautician, garment fabrication, incense stick rolling etc. Women graduates barely meet the minimum level income criteria of Rs 3,000 per month under these trades. In contrast, there are certain trades which shows high prospect of better income considering the current educational requirement of EFS is relaxed, from under SLC to below Intermediate level of education. Hence, EFS has decided to open up SLC for **women only** in certain trades to encourage the participation of women and to increase their prospect of earning better income. However, the current educational limit for men still remains same, that is, below SLC. The T&Es cannot include women above intermediate level education, say Bachelors or Masters Level.

Below are the lists of trades eligible for women under ***Intermediate Level of education:***

Occupations eligible for Women under Intermediate level education	
Hospitality Sector • Waiter/Waitress • Commis – III • Small Hotel and Lodge Assistant • Junior Baker • Bar Tender	Electronic Sector • Junior Computer Hardware Technician • Color Television Repairer Technician • FM studio technical assistant • Junior Telecom Technician • Mobile Phone Repairer Technician • Radio Receiver Repair Technician
Electrical • Building Electrician • Electrical Appliances Repairer • Industrial Electrician • Transformer Repair Technician	Mechanical • Aluminum Composite Panel Fabricator • Refrigeration and Air-Condition Mechanic • Aluminum Fabricator
Agriculture • Village Animal Health Worker • Herbal Technician	Renewable Energy • Solar Energy Technician
Construction • Furniture Maker	Others • Early Childhood Development Facilitator • Security Guard • EV Driving

Annex- 5

Overseas employment related trades/events which are eligible for the participants having below intermediate level of education for both women and men

Various studies have shown that the migration especially to the Middle East has been increasing steeply over the recent years. At the same time, the opportunities for gainful employment within Nepal remain rather limited. Thousands of youths are leaving to the Middle East in search of better employment opportunities to support their family and increase their quality of living.

For certain trades like hospitality and the whole service sector, employers abroad strictly prefer people with good command of English in order to communicate with customers and understand instructions properly. As in Nepal, a sufficient command of English can only be expected from youth who passed the SLC, most overseas employment agencies and direct employers who offer formal employment in higher income earning trades require at least SLC as a minimum of education. EFS have defined the respective trades and allowed T&Es which have been allocated targets for training potential migrants to accept applicants which have below intermediate level of education. This criterion is applicable to **both women and men**.

Below are the lists of trades opened for the participants having below intermediate level of education for the events which are dedicated for Overseas employment. This has been opened only for ***dedicated events*** planned for overseas employment.

Overseas employment related occupations opened for below intermediate level of educations for men and women both. This applies only for dedicated events.	
Hospitality Sector • Housekeeper • Caregiver	Electrical • Building Electrician • Industrial Electrician
Health • Nurse	Mechanical • Air-condition Junior Mechanic • Aluminum Fabricator • Refrigeration and Air – Conditioning Technician
Others • Security Guard • Sales Person • Safety Foreman • Receptionist cum Cashier	

Annex- 6

Occupations for Decent Work Standard

EFS uses pre-defined income levels as the most important criteria for measuring the employment outcome of the training programs. However, in wage employment the salary is not the only outcome indicator for the quality of the work life of the graduates. Work conditions respecting national and international basic standards of fair remuneration, labour rights, health and safety also have to be ensured. In the EF program mainly home-based per piece contracting and factory based trades are most vulnerable for violations of decent work standards. So EFS is trying to develop Decent Work Standard for certain trades which are highly vulnerable. Furthermore, in these trades T&Es have to provide adequate pre-training counseling to applicants interested in such trades and conduct an orientation on decent work standards to the trainees.

T&Es which propose vulnerable trades are required to ensure that the employers with whom they collaborate comply with basic standards of decent work. A workshop will be planned with the T&Es and related stakeholders in the near future in order to discuss about the basic work standards and its method of implementation.

Below are the lists of trades for complying with Decent Work Standard:

List of Occupations for Decent Work Standard	
Hospitality Sector • Housekeeper	Construction • Brick Molder • Bricklayer Mason
Tailoring / Garment • Garment Fabrication • Hand Embroiderer • Tailoring • Dress Maker	Textile • Carpet Weaver • Thread Spinner • Dhaka Weaver • Textile Weaver • Pashmina Knitter
Agriculture • Herbal Farm Worker • Areca Nuts Processing	Leather Goods and Products • Shoe Maker
Handicraft • Wood Carver • Bamboo Stick Maker • Stick Incense Roller • Sewing and Cutting	

Annex 7

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