ASSAM ADMINISTRATIVE REFORMS COMMISSION

REPORT
2005

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ASSAM ADMINISTRATIVE REFORMS COMMISSION

New Secretariat Complex
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Assam Sachivalaya, Dispur, Guwahati 781006
Website: http://assamgovt.in/aarc/

Assam Administrative Reforms Commission

May 31, 2005

Hon'ble Chief Minister, Assam

We herewith present the Final Report of the Assam Administrative Reforms Commission for consideration of the State Government.

You will kindly recall that the Commission earlier presented interim recommendations in Six Parts and in this Final Report, all the interim recommendations have been incorporated with additional supplementary materials.

We hope that the recommendations would be implemented expeditiously for the interest of citizen-friendly responsive public administration in the State.

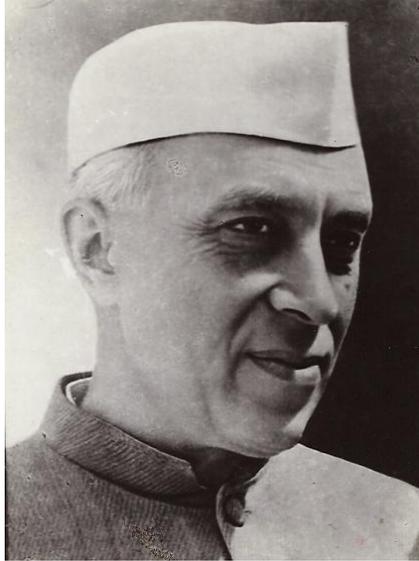|	
Dr. Nirmal Kumar Choudhury Member	*Jatin Hazarika* Chairman
Dr. Pabitra Kumar Chaudhuri Member	*Tapan Lal Barua* Member
Dr. Bharati Sarmah Member	*Mahadeo Jalan* Member
Jyoti Prasad Saikia Member	*Sameer Kumar Khare* Member Secretary

"Administration is meant to achieve something and not to exist in some kind of an ivory tower following certain rules of procedure and Narcissus like looking on itself with complete satisfaction. The test after all, is the human being and their welfare"

Pandit Jawaharlal Nehru
March 29, 1954

**Prime Minister's letter to Chief Ministers
on accountability in public services**

July 18, 2004

"Let me take this opportunity to greet you and affirm my commitment to working with you to redeem the pledge that we have made to accelerate the pace of social and economic development in our county. The people of this country require us to pay concentrated attention to development issues, ensure that growth and distributive justice go together, bring back compassion into our ways of thinking and restore to public life the waning spirit of idealism and sacrifice.

Our challenges appear formidable. Our opportunities are also unique. We are a country of one billion opportunities if we begin to see people as our strategic resource. We are a country with enormous potential. Some of our industries are setting global standards of excellence. We are a much more connected nation than we were a few decades ago. We have a vibrant democracy that has deepened and broadened over the years and today it commands global appreciation. Our democracy, our pluralism, our cultural heritage of tolerance and compassion are values that inspire the world. However, despite the growth momentum generated over the past two decades and all its attendant successes, we are still to realise our full potential. Achieving this requires determined concerted action on many fronts.

Our unfinished tasks include some that Jawaharlal Nehru flagged for us at the time of our Independence - to end poverty, illiteracy, disease and inequality of opportunity. The agenda that we have placed before ourselves recognises that despite impressive all round progress that the country has registered since Independence, we face a situation of uneven development, between regions and between people. We need to make our process of economic reforms inclusive, both at the Centre and in the States.

The process of inclusive reforms involves greater focus on agriculture through increased public investment and effective strategies for employment generation. It will mean ensuring equal opportunities for vulnerable sections like scheduled castes, scheduled tribes, other backward classes, women and minorities. It will entail targeting investment towards backward areas of the country. It must take into account the interests of labour in the organised and unorganised sectors. It should aim at improving the policy regime for the private sector to create wealth in the country as well as provide space for non-governmental and citizen action groups to contribute to the development process and the well being of our people. It should strengthen an architecture of governance that enhances the scope and effectiveness of collective action.

We have a large number of development programmes the implementation of which leaves much to be desired. Some of them entail sub-optimal use of our resources and energies. We need to identify them and rationalise them. We need to give specific timelines for delivery on key development goals and be held publicly accountable for them. We need to collectively identify the bottlenecks in our systems and procedures that limit the utilisation of our potential.

Even as we refocus priorities, it is equally important that we pay attention to reforming the public institutions we work with. Reforms in the processes of governance should engage the immediate attention of both the Central and State Governments. It will involve energising institutions of governance and ensuring accountability in the provision of public services, transparency in handling of public funds, and aligning incentives with desired outcomes.

Maintenance of law and order is critical in providing an atmosphere conducive to economic development and social harmony. Challenges of law and order as well as development require stability of tenure of officials in key positions. Frequent transfers of public servants have a debilitating impact not only on their performance and morale but also on the whole process of governance. Development administration also involves learning that to a large extent

depends on the regularity of tenure. Therefore, I urge you to ensure stability of tenure to officials in key positions in order to ensure effective administration and proper delivery of public services. We need to redesign our public systems to make officials accountable for delivery of public services by giving rights to citizens and duties to officials.

The agenda of our government reflects our commitment to the concerns of the common man. In the Union Budget presented a few days ago, we have substantially increased allocations for the areas mentioned earlier in this letter, particularly for agriculture, water harvesting, education, health, employment, nutrition and rural industries. As I had mentioned at the recently held Chief Minister' Conference, while our government at the centre can generate funds for development programmes, their success is dependent on the efficacy of implementation which is entirely in your hands. Hence, success is contingent on our collective endeavours in the true spirit of an abiding partnership in the best traditions of cooperative federalism. I appeal to you, therefore, to play the role of visionary leaders working towards transforming the socio-economic conditions of millions of our countrymen who are looking up to us for enhancing the quality of their lives.

I hope to be in touch with you regularly and look forward to your constructive suggestions and whole-hearted support in making a success of our collective efforts for the benefit of the common man."

Dr. Manmohan Singh
Prime Minister India

0ctober 12, 2001

The urgent need for a radical change both in concept and approach has prompted our new Government to announce in all sincerity its commitment to present to the people of Assam an administration, which will be clean, transparent, accountable, efficient and service-oriented. Our Government will be like an open book. People must clearly know how the administration is functioning, how their grievances are processed and what is the progress at every step of such processing. People must clearly know what schemes are going to be implemented in their respective areas and how it is going to be implemented. In fact, we want to have an open Government. Everything in the Government should be clear before the eyes of the people. There must not be any room even for the slightest doubt in the minds of the people about intention of our Government and the actions taken for people's welfare.

Shri Tarun Gogoi
Chief Minister, Assam

Composition of the Commission

1. Shri Jatin Hazarika, IAS (Retd.)   Chairman
   Former Chairman, Assam Board of Revenue

2. Shri Tapan Lal Barua, IAS (Retd.)   Member
   Former Home Commissioner Assam

3. Dr. Nirmal Kumar Choudhury,   Member
   Former Vice Chancellor, Gauhati University

4. Dr. Pabitra Kumar Chaudhuri,   Member
   Former Director (HRD)
   Hindustan Machine Tools Bangalore

5. Dr.(Prof.) Bharati Sarmah,   Member
   Professor, Indian Institute of Public Administration
   New Delhi

6. Shri Mahadeo Jalan,   Member
   Tea Planter & Industrialist

7. Commissioner & Secretary,   Member
   Personnel Department, Government of Assam
   (Shri Jyoti Prasad Saikia, IAS)

8. Commissioner & Secretary,   Member
   Secretary
   A. R. & Training Department, Government of Assam

The following officials functioned as Member Secretary of the Commission for the periods as shown against each of them-

- Dr. Prem Saran, IAS   from 13-2-2002 to 7-9-2002
- Dr. Ajay Kumar Singh, IAS   from 8- 9-2002 to 18-5-2004
- Shri Sameer Kumar Khare, IAS   from 19-5-2004

Content

INTRODUCTION

In India, the search for good governance has been continuing since the ancient days even prior to Ramayana and Mahabharata. Arthasastra, magnum opus of 4th century political scientist and statesman Kautilya is a landmark in this direction. According to Kautilya, to ensure good governance there must be a properly guided public administration, where the ruler should surrender his likes and dislikes in the interest of his subjects, and the personnel running the Government should be responsive and responsible. Kautilya further emphasized that for citizen friendly good governance there should be uniformity in the administrative practices as well as competent ministers and officials possessing qualities of leadership, accountability, intellect, energy, good moral conduct and physical fitness, capable of taking prompt decision without allowing things to drift.

At the time of independence, India inherited a very well knit administrative system, though the system was designed at the dictate of colonial regime. After independence, there had been a significant endeavour to bring about structural changes in administration to fulfill the aspiration of people and Committees and Commissions were set up by the Union Government to examine and advise the different aspects of public administration. In 1949, N. Gopalswami Ayyenger suggested improvement in the method of transaction of Government business, and Government of India created Organisational & Method Division in Central Government set up in pursuance of Ayyenger's recommendation "to keep continuous watch over the performance of the administrative system and to improve the standard. Then came A.D. Gorwala's Report (1951) pointing out that clean, efficient and impartial administration was the first condition of the success of democratic Government and therefore the administrative machinery needed reorganization to ensure greater speed, effectiveness and responsiveness. In 1953 and again in 1956, Pandit Nehru, the First Prime Minister of India commissioned the renowned American expert of Public Administration Paul H Appleby to advise Government of India for reforming Indian administrative system. Similarly, Asok Chandra Committee of 1954, T.T. Krishnamachary Committee of the same year as well as K. Santhanam Committee (1964) examined different aspects of public administration and made recommendations to the Union Government.

In 1966, a high powered Administrative Reforms Commission was set up under the Chairmanship of Morarji Bhai Desai, a stalwart of Indian politics to give consideration to ensuring the higher standard of effectiveness and integrity in public service, making public administration a fit instrument for carrying out the social & economic policies of the Government and achieving social and economic goals of development and also one which is responsive to the people.

Administrative Reforms Commission of 1966 during the tenure of 5 year (1966-70) submitted 20 Reports on different aspects of Public Administration and on the basis of the recommendations of the Commission there were many major changes in the Central Government including setting up of Department of Personnel and Administrative Reforms. The Desk Officer system as well as performance budgeting were introduced in Central Government as recommended by the Commission.

In 1983, the Economic Administrative Reforms Commission under L.K. Jha indicated the need for accountability so that greater importance was given to performance than mere adherence to rules and procedure.

In recent years increased thrust has been given to administrative reform and the conference of Chief Secretaries held in November 1996, discussed at length regarding effective and responsible administration in the states. This conference was followed by a conference of Chief Ministers in May 1997 where it was recognized that governance has to extend beyond conventional bureaucracies and to involve actively citizens of all levels to empower and inform the public and the disadvantaged groups so as to ensure service delivery and programme extension through autonomous elected local bodies.

Government of India constituted a Group in December 2002, under the Chairmanship of Lt. Gen. (Retd.) Surinder Nath former Chairman UPSC to review and make recommendations with regard to present system of performance appraisal, promotions and lateral movement in respect of All India Services and other Group ±Aq services. The recommendations of the Group are in two parts, the first relating to the system of performance appraisal and the second, to promotions and placement in the Central Government under the Central Staffing Scheme.

In 2004 the Government of India constituted another Committee to examine the whole gamut of Civil Service Reforms covering All India Services and

organized Group ±Aq Central Services; under the Chairmanship of Shri P.C. Hota IAS (Retd.), former Chairman UPSC. The Committee submitted the Report highlighting the areas where reforms are necessary.

The **Synopsis** of **Surinder Nath Committee Report** as well as Main Recommendations of **P.C. Hota Committee Report** are appended to this Report.

While outlining the development strategy for the Tenth Five Year Plan, the Planning Commission stated that an important aspect of redefinition of strategy that is needed relates to the role of government, and this redefinition is necessary both at the Central and State Government level. It is generally recognized that government in the past tended to take on too many responsibilities, imposing severe strains on its limited financial and administrative capabilities and also stifling individual initiatives. This is not to say that government has no role to play or only a minimalist role in promoting development. On the contrary, government has a very important role indeed, but a different one from that envisaged in the past. There are many areas like social sectors, infrastructure development etc. where government role may have to be expanded and restructured.

Planning Commission has also emphasized the need of governance reforms for successful implementation of development programme, as the government require adequate fund, appropriate policy framework, formulation of suitable plan schemes and effective delivery machinery. To a large extent the task of the development administration would become easier if steps are taken to make available information as a matter of right to the citizen. Other aspect of the reforms must cover civil service reforms, reforms in fiscal sectors, introduction of e-governance as well as radical improvement of transparency, accountability, efficiency, fair play and honesty procedural reforms for public-government interface.

Planning Commission highlighted that Good Governance is perhaps the single most important factor in achieving the objectives of the Tenth Five Year Plan.

It has been realized all over the country that public service capacity to deliver services to citizens has declined considerably , and the causes of decline have been identified as .

a. Resistance to reforms

b. Inexperience in bureaucratic leadership management and facilitation of change
c. Weak management decision making
d. Managers are not prepared to take decisions
e. Civil service is input focused and therefore, not result oriented
f. Public service managers including top bureaucrats heading the Government Departments are held not accountable for performance
g. Management system is either inadequate or ineffective (in some areas – nil)
h. Appointment of wrong people in critical positions

These causes coupled with poor skill base, corrupt behaviour, negative image of the public service and culture of blame have made the government delivery system ineffective, and without any responsiveness.

No Government can afford to allow such state of affairs in public administration to continue as this would jeopardize the relevance of public administration in peoples esteem. The public service reform comes in this context to attain efficiency and effectiveness in the delivery of public goods and services.

The purpose of administrative reform is to make government more responsive to societys needs. People want Government that does more and costs less. Much of current reforms is an effort to meet societys needs by providing better, faster and more services from government. In the face of changing society, the governments role in society is also changing. Government is becoming just one player among many seeking to represent and serve the public. While still playing a privileged role, the loss of the government monopoly on services means that the government service faces greater competition, needing behavioural change and capability to give service with quality assurance to the citizens with structural changes fostering leadership, innovation, flexibility, pro-active mindset and accountability.

Since fifties a number of State Governments initiated reforms in their respective state administration by constituting Administrative Reforms Commission/Committee from time to time.

In Assam, an attempt was made in this direction in 1984 when an Administrative Reforms Commission was set up with prominent politician, and ex-Minister (who resigned from Assam Civil Service and joined politics) Md. Omaruddin as the Chairman. However, the untimely death of Md. Omaruddin and subsequent change of State Government sealed the fate of the Commission.

Administrative Reforms are continuous processes for improving the quality of governance. World Bank has defined governance, as the manner in which power is exercised in the management of a country's economic & social resources for development and Good Governance is synonymous with all round balanced development. In broader sense, the term –governanceq encompasses all aspects of the way a country is governed, including its economic and social policies as well as regulatory framework.

One of the basic responsibilities of public administration is to provide services to the citizens. To satisfy the imperatives of good governance, administration is required to thrive for improving services it provides to citizens, making it easier for the citizens to gain access to government, simultaneously providing citizens with information about processes that involve them.

Again, there are three important elements of good governance. They are : accountability, transparency and contestability.

Accountability means decision makers accept responsibility for their decisions. Transparency relies on a presumption of access to information about how the Government works, i.e. transparency means operation in a manner that is open, honest and able to be questioned because there is ready access to information. Contestability is about using competition to achieve value for money in service delivery.

The pragmatic agenda for reforms and renovation of public administration should include:

- Replacement of cumbersome administrative procedures with more simplified and transparent ones
- Reduction of red tape and corruption
- Quick redressal of public grievances
- Streamlining and better defining the mandates and functions of Government Departments and institutions as well as redefining the functional roles of Government Officials
- Rationalizing organization structure of Government Departments and agencies
- Raising the quality of public officials
- Modernizing the public administration system through computerization and e-governance initiatives
- Improvement of the financial management mechanism

Keeping the above objectives in view the Government of Assam constituted Assam Administrative Reforms Commission vide Notification No.AR.38/2003/13 dated 13-06-2002 for the purpose of taking concrete steps to tone up efficiency, responsiveness and accountability at all levels of administration and to ensure transparency in Government businesses.

The members of the Commission are:

1. Shri Jatin Hazarika, IAS (Retd.)	Chairman
2. Shri Tapan Lal Barua, IAS (Retd.)	Member
3. Dr. Nirmal Kumar Choudhury	Member
4. Dr. Pabitra Kumar Choudhuri,	Member
5. Dr.(Smt.) Bharati Sarmah	Member,
6. Shri Mahadeo Jalan	Member
7. Commissioner & Secretary Personnel Department, Government of Assam	Member
8. Commissioner & Secretary A.R. & Training Department, Government of Assam	Member Secretary

The following officials functioned as Member Secretary of the Commission for the periods as shown against each of them-

- Dr. Prem Saran, IAS   from 13-2-2002 to 7-9-2002
- Dr. Ajay Kumar Singh, IAS   from 8-9-2002 to 18-5-2004
- Shri Sameer Kumar Khare, IAS from 19-5-2004

The tenure of the Commission initially fixed for one year was extended till June 12, 2005.

The terms of reference as notified is given below :

i.   Examine the ways and means of creating an environment wherein the officers and staff will respond to the people with courtesy, service-mindedness and a spirit of understanding; provide to the people, at any

level of interaction, adequate information about the Government policies and programmes and rules and regulations to generally accelerate the process of decision-making.

ii. Suggest policy to make the administration accountable and responsive.

iii. Examine the ways and means of evolving simplified procedure for Government machinery for implementation of various plans and programmes of the Government without undue delay.

iv. Revamping of Delivery System for effective implementation of development programmes dovetailed with effective monitoring and evaluation system.

v. To examine the quality of life of Scheduled Castes, Scheduled Tribes and Minorities and people living in the geographically isolated areas viz., Char, tea gardens and Border areas and suggest suitable measures to improve the government delivery system therein.

vi. Reviewing the process of collecting fair and justifiable changes for the services rendered and facilities provided by the government to the public.

vii. Examine the process of bringing transparency in administration for elimination of corruption.

viii. To examine the need for decentralization of powers and decision-making process.

ix. Measures for creation of work culture with sense of direction where performance and result orientation is given topmost priority.

x. Areas from which Government can withdraw from direct involvement so as to focus on core sectors of Governance.

xi. To formulate policy for entrusting identified programmes to NGO's and private sectors which could be implemented by them.

xii. To examine the extensive utilization of information technology in Government administration.

xiii. Organizational restructuring and consolidation of Departments: for this purpose carry out the functional reviews for selected departments including the .

a. Rationalization of activities between various departments so as to reduce overlapping of functions, streamline activities and reduce redundant posts.
b. Abolition of schemes that are redundant and have not achieved the required objectives and merger of schemes that are similar in content.
c. To examine the multiplication of committees at district and sub-district level and suggest suitable measures.

Though the Commission was notified in June 2002, the Commission could function in a regular manner from August of the year, as preliminary infrastructures required for Commissions functioning were not available.

The first meeting of the Administrative Reforms Commission (to be referred to as Commission henceforth) held on 10-07-2002 decided to invite suggestions from the public and constituted the following three sub-committees to prepare background papers on the subjects allotted to them :

i. Sub-committee on
Information Technology : Co-ordinator : Dr. N. K. Choudhury

ii. Sub-committee on
Human Resource Development : Co-ordinator : Dr. P. Saran, IAS

iii. Sub-committee on
Selected Government Departments : Co-ordinator :Shri T. L. Barua IAS (Retd.)

Public notice inviting suggestions on the terms of reference was published in all leading newspapers. The Commission also launched a website **'http://assamgovt.in/aarc/'** for the aforesaid purpose. However, response received was far from encouraging.

Similarly, the Principal Secretaries/Commissioners/Secretaries to the Government of Assam and Heads of Department as well as Deputy commissioners were requested by the Commission to put forward their views/suggestions on different topics incorporated in the terms of reference, but unfortunately except a very few no such views/suggestions were forthcoming. The Commission interacted with several Secretaries to the Government of Assam as well as Heads of Departments who made presentation to the Commission detailing the activities, performance and achievement of their respective departments.

Commission had also written to a large number of people connected with NGOs and such other activists for advice to make recommendations in respect of ToR 10 & 11. Commission interacted with some of them for

valuable inputs to formulate recommendations in respect of ToR 10 relating to areas wherefrom the State Government can withdraw from direct involvement so as to focus on core sectors of governance and formulation of policies for entrusting identified programmes to NGOs and private sector for implementation. The Commission interacted with leading personalities to obtain their views on public administration set up of the State.

The Commission interacted with Commissioners of Divisions/Deputy Commissioners/Sub Divisional Officers to acquaint with the problems and difficulties faced by the field level officers.

The Commission visited the offices of the Deputy Commissioner, Kamrup and Morigaon and interacted with the district level officers of different departments to examine the functioning of the office of the Deputy Commissioner, as well as district offices of important departments

The Commission visited the office of the Sub-Divisional Officer, Rangia, Circle Offices, Kamalpur and Boko; Block Development Offices of Kamalpur and Boko to interact with the field officers to find out the working of the field-level officers.

The Commission interacted with the elected representatives of Morigaon Zilla Parishad and the CEMs/EMs of the Tiwa Autonomous Council at Morigaon.

The Chairman accompanied by Dr. A.K. Singh, the then Member-Secretary to the Commission visited Chandigarh to study the various administrative reform measures undertaken in the States of Punjab and Haryana. They also interacted with officials of Government of India in the Ministry of Personnel and Administrative Reforms, Director and Faculty Members of IIPA, New Delhi, Senior officials of Department for International Development (DFID- a Government of UK organization with office in New Delhi) etc. Chairman interacted with officials of the West Bengal Government to exchange views on different aspects of State Government administration including functioning of Zilla Parishad, as well as delivery system of health care services recently introduced by the Health & Family Welfare Department of West Bengal.

The Commission also interacted with leading personalities to obtain their views on public administration set up of the State.

In addition to the terms of reference already notified, the State Government consulted and obtained the views of the Commission on specific issues.

Hon'ble Chief Minister indicated that the Commission should give priority to the following administrative issues and submit its recommendations accordingly.

i.   cutting down stages of movement of files in the Secretariat
ii. proper grievances-redressal mechanism at the Secretariat level
iii. single window clearance system for industrialists, entrepreneurs and investors.
iv. improvement of work culture, change of mindset of State Government employees for efficient performance and result orientation

Accordingly, the Commission took up the above topics for consideration on priority basis and after due deliberations submitted the recommendations to the Chief Minister on 22-04-2003 in its first interim report.

The Government requested the Commission to undertake functional study of various Departments under ToR 13 and suggest recommendation. The Commission took up functional study in twelve selected departments of the Government, accordingly. Functional study of five departments viz. Education, Health & Family Welfare, PWD, irrigation and Personnel was done by the Commission with active help and assistance of Consultants of Asian Development Bank (ADB), who has been implementing Assam Governance and Public Resource Management Project in the State. Functional study of other departments were taken up by the Commission with the help of selected State Government officials. Summaries of the recommendations made in respect of aforesaid five Government departments on the basis of functional study are incorporated in this Report.

At the request of the Chief Secretary, the Commission prepared a list of 'Dos & Donots' for the officers as well as other categories of government employees as shown in the Annexure to this Report

The Commission also undertook a survey for finding out the Departments of the Secretariat where number of visitors daily came to sort out their grievances/pending matters etc. and on the basis of the survey, the Commission took initiative to set up a Reception-cum-Facilitation Centre in the Gana Sewa Bhawan and introduced the system of issuing computerized secretariat entry passes with photographs of the visitors.

As desired by the State Government, the Commission examined and made recommendations on the issues like Creation of high level Estate Office for the Sachivalaya, Delegation of power to Departmental Secretaries for local

purchase of stationary articles, Creation of new Secretariat Departments for Commercial Taxes, Agricultural Marketing etc., Prescribing eligibility criterion for the Lady Member of APSC, Appointment made to State Government job on compassionate ground and number of other issues.

The Commission made the recommendations incorporated in the Report taking into account the core management principles of public administration under which the administration must direct itself to, firstly achieve efficiency, and effectiveness in the operations of public organisation and secondly, the public administration gearing itself to coping with the challenges of economic liberalization, political and social plurism, as well as rapidly changing technologies. To achieve the aforesaid goals, public service organizations must adopt mission driven result oriented management practices with the objective of meeting the needs of the citizens.

The Commission had in all 30 meetings, besides a series of meetings of the sub-committees as well as meetings with Departmental officials, public representatives, representatives of Asian Development Bank etc. The Commission submitted 6 (six) interim reports on following dates:

(i)   1st Interim report on 22-04-03 containing recommendations :

1. Quick movement of files, Desk Officer's system,
2. Employee motivation and proper work culture,
3. Effective redressal of Public Grievances and furnishing information to the visitors to the Secretariat,
4. 'Single Window' facility for investors / entrepreneurs,
5. Rationalization of Government Departments

(ii)   2nd Interim report on 20-08-03, containing recommendations :

6. Rationalisation of District/ Sub-Divisional level Committees,
7. Utilisation of Information Technology in Government Administration (E-Governance),
8. Decentralisation of powers up to Divisional level vis-à-vis strengthening of the role and powers of Divisional Commissioners,
9. Compilation of Annual Administrative Report by State Government Departments,
10. Mechanisms for Monitoring & Co-ordinating Self-Employment Opportunities in the State, and Redefined role for Employment Exchanges.

(iii) 3rd Interim report on 14-07-04, containing recommendations :

11. Revamping of Delivery System,
12. Vigilance Set up for the State,

(iv) 4th Interim report on 19-11-04, containing recommendations :

13. The areas from which Government could withdraw from direct involvement so as to focus on the core sectors of governance and what should be the Government Policy for such withdrawal.

(v) 5th Interim report submitted on 4-5-05 containing recommendations:

14. To examine the quality of life of Scheduled Castes, Scheduled Tribes, Minorities and people living in geographically isolated areas viz. Char, Tea Gardens, and Border Areas and suggest suitable measures to improve the government delivery system therein

(vi) 6TH Interim Report submitted on 9-5-05 containing recommendations:

15. Abolition of Schemes that are redundant and have not achieved the required objectives and merger of schemes that are similar in content.

16. Notes on-

I. Accountable and Responsive Administration in Assam
II. Highlights of Good Governance
III. Capacity Building for Administrative and Civil Service Reforms

Two more Notes viz. Civil Service Reforms in the State of Assam and Modernisation of District Administration have been added to this Report.

The Prime Minister delivered a very illuminating and inspiring address at the District Collectorsq Meeting held on May 20, 2005. The Address has been incorporated in the Report along with the Notes.

In the final Report, the serial of the topics mentioned above has been re-arranged as shown in the contents, along with addition of supplementary materials wherever found necessary.

The Commission is grateful to Shri Tarun Gogoi, Chief Minister, Assam for his keen interest in administrative reforms and his vision for a people-friendly, transparent, efficient and corruption-free Government. The Commission is happy to note that the State Government have accepted the

recommendations given in the interim reports Part I and Part II and constituted a high-power monitoring committee under the Chairmanship of the Chief Secretary to work out modalities and also to monitor the implementation of recommendations.

The Commission is confident that if the recommendations incorporated in this Report are implemented, a new era of citizen-friendly responsive and effective public administration could be ushered in our State.

> *"There is nothing more difficult to arrange, more doubtful of success,*
> *more dangerous to carry through than initiating changes.*
>
> *The innovator makes enemies of all those who prosper under*
> *the old cover, and only lukewarm support is forthcoming*
> *from those who would prosper under the new.*
>
> *Men are generally incredulous, never really trusting new things*
> *unless they have tested them by experience"*

- Nicholas Machiavelli,
The Prince, 1513

May 31, 2005   **Jatin Hazarika**
                                                                      Chairman

Chapter I

Employee Motivation & Proper Work Culture

Employee Motivation & Proper Work Culture

There is a general perception that work culture has deteriorated due to lack of motivation of employees and efficiency of the government has suffered. To improve this situation, the Assam Administrative Reforms Commission makes the following recommendations.

I. Performance-linked Incentives

Incentives ó both positive and negative ó linked to individual performance should be introduced to motivate employees and improve work culture. In the current system, there is little reward for good work, bad work frequently goes unpunished, and non-performance has become a low-risk hiding strategy. Positive incentives could be non-monetary, linked to individual performance, in the form of recognition, e.g., appreciation letters signed by the Secretary/ CS/ CM, etc., which inspire others and encourage the individual to keep doing well. These should be based on explicit criteria made known to all concerned well in advance so that expectations could be set and performance measured periodically over the year through a participatory appraisal system (explained in a later section below).

Unlike the impersonal, punishment-oriented system built into present service rules, the new system should be based on the employee and the supervisor working closely with mutual trust, agreed upon performance expectations, and fairness in rewards and corrective action. It would be possible to tackle poor performance or non-performance proactively, as the employee would be under regular scrutiny of the supervisor, affording opportunities for timely corrective action and minimizing recourse to complex, time-consuming departmental proceedings, which would still be needed for intractable cases.

II. Performance Appraisal

In order to get the best out of the employees in a positive, mutually supportive manner, a new performance appraisal system will have to replace the current ACR system. This should be on the lines of the performance appraisal system followed in ISO 9000 organisations, with necessary modification suitable to Government. This appraisal has three clear advantages over the current ACR system ó

(a)   **Participatory:** In the new system, the employee reported upon would be able to participate in own performance appraisal at all

stages, right from the initial goal setting, together with his/her supervisor.

(b) **Timely:** Unlike the current system, where ACRs are written once for the year or a reporting period shorter than a year ó and that too long after the reporting period is over, performance appraisal in the new system would be done at the end of every quarter of the reporting year. Each time, the employee would also be able to participate and would get to understand his/her strengths, scope for improvement, etc. The supervisor would use these opportunities to give both positive and negative feedback and to communicate the employeeøs progress. The appraisal reports would be signed in agreement by the employee as well as the supervisor, and the employee would have the right to bring on record any disagreement.

(c) **Not impersonal:** Again, unlike the current ACR system, which lacks personal involvement of the employee and the reporting officer, the proposed appraisal system offers much opportunity for the supervisor to inspire desirable action, and to take timely corrective action.

III. Reporting System and Organizational Chart

From the above description, it is obvious that the new system would also require changes in the reporting system. The current reporting system is impersonal, the emphasis is on designation and not on the individual; everyone works for the government, which is an abstract entity, and hardly anyone feels any real need for reporting to his/her immediate superior on a regular and direct basis. This allows (even forces) the employees (officers as well as staff) to be on their own. This õself-managedö system wishes that everyone would discharge his/her duties and responsibilities conscientiously in the greater public interest at all times, ignoring the human tendency of responding to incentives and disincentives ó and without a sound reporting system, it would not be easy to have a well-functioning incentive system.

In order to have an effective reporting system, organizational charts with clear lines of reporting should be introduced in each department; each officer and staff should have a designated superior to report to. Everyone

should get in touch with his/her immediate supervisor almost on a daily basis, if even for a few minutes, and have õone-on-oneö meetings every fortnight or month to share information, ideas, opinions, problems, etc.

Each department should have departmental officersø meeting every month and all-employee (officers as well staff) meeting every quarter.

IV. Job Charts

Well-defined job charts for employees at all levels should be introduced; these are necessary, since work is organized, expectations are set, and performance is appraised on the basis of the job charts. Although some flexibility would be needed, particularly at the higher levels of the organizational hierarchy, the core content for each category of work should be is laid out clearly. That would enable every individual to know what he/she is supposed to deliver at the minimum, and not to feel genuinely bad if corrective action is taken for failure on that account.

V. Selection and Promotion

For improving the quality of personnel in the Secretariat, the following suggestions could be considered for implementation after due consultations.

1. Training should be mandatory across the career of the Assam Secretariat Service employees ó induction training, refresher training at well-defined intervals, and trainings linked to promotions/ EB crossing/ selection to a different category post, etc. These trainings could be organized at the Assam Administrative Staff College, with appropriately designed content and the right kind of faculty, including guest faculty. Training modules could be obtained from outside sources as well, e.g., the Government of India, the Indian Institute of Public Administration, etc.

2. The Secretariat Training School should be shifted to, or even merged with, the Assam Administrative Staff College for improving the quality of training to the Secretariat employees, and also the field level employees, who are supposed to be trained at the Secretariat Training School.

3. Promotion from Grade IV to Assistants should be carefully scrutinized; this avenue should be available only on the merit or merit-cum-seniority basis ó and that too when the educational qualifications are met, and not on the seniority basis alone.

4. The empanelment system should be considered for promotion to the Joint Secretary level in the ACS.

5. Similarly, there should be empanelment for promotion of the Secretariat Superintendents to the Under Secretary level.

VI. Work Environment

Poor condition physical environment is known to affect the quality of work output in all human organizations, and the Assam Secretariat cannot be an exception. Cramped and dirty work areas, broken or dilapidated furniture, non-ergonomic seats, poor lighting, unhygienic toilet facilities, etc., are well-known problems. Solving these problems will be of definite help in improving employee productivity.

The new Secretariat building should be so designed that a whole department could be accommodated in a hall like accommodation with all necessary infrastructure and facilities at one place as followed in corporate offices. Even states like Haryana has been following this pattern and getting good results.

VII. Holidays

While discussing work culture of State Government employees, we must not fail to highlight that in our state the list of holidays for State Government Offices is too long to be conducive for improving work culture and efficiency in the public administration. Frequent closure of offices on different occasions has definitely adversely effected the economic growth of the State. The Commission recommends that the total number of holidays for State Government Offices including Sundays, Second and Fourth Saturdays should not exceed 90 days (i.e., one fourth of 365 days) in a year.

For the interest of all round development of the State, time has come to discard the general feeling that by declaring holidays in the memory of great people, we have been paying respect to them.

Chapter II

Quick Movement of Files

Quick Movement of Files

Since the efficiency of the government depends on quick movement of files, the Assam Administrative Reforms Commission makes the following recommendations for improving the entire process at the various levels of decision-making in government.

1. The Desk Officer system

The Desk Officer system should be introduced in a phased manner, beginning with a few departments, like Home, Personnel, Industries and Commerce, Agriculture, Administrative Reforms and Training, etc., and gradually covering all major departments.

In this system, the files, papers, etc. related to a subject are processed and put up by an officer ó the Desk Officer (DO) ó who is an Under Secretary, a Deputy Secretary or a Joint Secretary. The DO is helped by a few (one or two, sometimes more) support staff called Administrative Assistants (AAs). These AAs are like personal assistants/ stenographers, who are also well conversant in the work of the õdeskö. UDAs/ LDAs do not put up files; they may, however, help the DO in finding relevant information, documents, precedent, background, etc., though proper record keeping can minimize that need.

If the DO system is introduced, the support staff can be found from the UDAs, LDAs and typists by training and redeploying them as Administrative Assistants (AA ó grade I, II, III). The Superintendents of the departments may act as the custodian of records of the õdesksö.

The DO system can speed up movement of files by cutting the levels of decision-making and making the entire process more efficient. The DO can also take the lead role and facilitate the decision process on complex, multi-dimensional subjects, where wider consultations and getting opinions of many are desirable.

The DO can be an Under Secretary/ Deputy Secretary/ Joint Secretary ó depending on the importance of the subject and the availability of officers, but he/she should be one of the best officers in the department, since the success of the system depends on the quality of the officer. The senior most Secretary should nominate the DO, who can also reallocate the desks from time to time among the DOs in the department.

The DO should be only for priority work – decided by the senior most Secretary. For each important subject handled within a department, there could be a DO (this will need a well-defined distribution of work among the officers in the department), and one officer can handle several õdesksö (which may even be in different departments).

The details can be worked out after studying the DO system in the Government of India, where this system has been working in many departments for quite some time, and in some other states (Haryana, Punjab) where Secretariat work has been reorganized/ redesigned recently. The Kerala Administrative Reforms Commission has also recommended the introduction of the DO system.

The DO was introduced in Assam Secretariat a few decades back, but it failed for various reasons, including the fact that not much thought was given to properly planning the system before introducing it, work distribution was not well-defined, necessary support staff were not provided and the officers assigned were not knowledgeable about the work of the desks.

II. Streamlining the workflow

The following recommendations for streamlining the workflow in the Secretariat may be considered; if accepted, they will need to be taken into account in updating the Manual of Office Procedure.

1. The levels of decision-making should be reduced to a maximum of three:
   a) The processing level – the Desk Officer
   b) The deciding level – Secretary/ Commissioner/ Principal Secretary, as per the allocation of work
   c) The approving level – Secretary/ Commissioner/ Principal Secretary/ CS/ Minister/ CM/ Cabinet/Governor, as per the Rules of Executive Business

The senior most officer in the department, while making the distribution of work among the officers in the department, should also define the levels at which the various matters would be disposed off.

2. The officer to whom the Dak is addressed should pass orders or indicate the course of action on the body of the Dak. A large proportion of papers can be disposed off in this manner.

3. The officer concerned should make priority markings on the body of important Dak so that the importance of the paper is well understood by the diarist and the staff.

4. To ensure time-bound disposal of Dak and files, the senior most officer in the department should review the pendancy list every fortnight.

5. Opening of part files should be allowed only with the express approval of the senior most Secretary in the department.

6. Consultations with the referral departments, e.g., Finance, Personnel (B), Administrative Reforms and Training, etc., should be judiciously used ó and not without the approval of the concerned Secretary. The referral departments should dispose off the files within a fortnight.

III. The Rules/Manuals of Office Procedure

Since the provisions of the Manual of Office Procedure guide the movement of files and disposal of work in the Secretariat, the following recommendations are made.

1. The Manual of Office Procedure (Secretariat) 1981 should be updated, simplified, and adequate number of copies should be printed. The current Manual is old, bulky, and almost out of print, though the main ideas contained therein are still valid.

2. Extracts of the most relevant provisions of the Manual should be printed in a handy booklet form and be made available to Secretariat officers/staff for easy reference.

3. The Manual/Rules should be translated into official and associate languages.

4. Arrear lists, as provided in the Secretariat Manual, should be made mandatory.

IV. Training

Often the officers posted to the Secretariat from the field (Districts, Subdivisions, etc.) are not well conversant with the rules and procedures to be followed in Secretariat work. They have to depend upon the

Assistants, leading to loss in efficiency of decision-making. Therefore, the following recommendations are made.

1. Upon being posted for the first time to the Secretariat, officers should undergo orientation training, covering the Rules of Executive Business, the Manual of Office Procedure, etc. Training programmes should be designed accordingly, with relevant content, including the guidelines for speedy disposal of files.

2. Refresher courses on the lines suggested above may also be arranged for periodic training of the officers posted in the Secretariat, including those coming back to the state after long stints outside.

3. Equally important is the training of the Secretariat staff; they should be given induction as well as periodic refresher training. Guidelines for speedy disposal of files should be included and emphasized in these training programmes. Such training may also be linked to promotions, crossing of EB, etc.

4. The abovementioned training programmes, including those for the staff, can be organized at the Assam Administrative Staff College, with carefully developed content and the right kind of trainers, including guest faculty from outside.

V. IT applications/ E-Governance

A separate set of recommendations is being made, since IT has a very significant role to play in facilitating the movement of files and disposal of work in the Secretariat.

VI. Quick movement of files the in offices of Head of Department, Deputy Commissioner, Sub-Divisional Officer etc.

For speeding up disposal of files, some State Governments have introduced single file system for office of the Head of Department and Secretariat Department. This system will be effective if both the offices are located either in the same premises or in neighbourhood. But in our Capital, the offices of the Heads of Departments are scattered all over the city. Therefore introduction of single file system will instead of speeding up disposal, delay the movement jeopardizing the safety of the file.

There are procedural difficulties to introduce Desk Officer System in offices other than Secretariat Departments. However, there is ample scope to follow the principle of level-jumping in all Subordinate offices including offices of the Deputy Commissioner, Sub-Divisional Officer etc.

Chapter III

Effective Redressal of Public Grievances & Furnishing
Information to the Visitors to the Secretariat

Effective Redressal of Public Grievances &
Furnishing Information to the Visitors to the Secretariat

A citizen-friendly government should give high priority to redressal of public grievances, since the government, being a service organization, is supposed to provide services to the public and to meet people's needs and aspirations. Effective and timely redressal of public grievances is also a hallmark of responsive and responsible governance. In order to have such a system firmly in place, the Assam Administrative Reforms Commission makes the following recommendations.

1. Separation of public grievance matters from the Pensions and Public Grievances (PPG) Department

Public grievance matters should be separated from pension matters, since these two parts of the PPG department do not have any synergy. Also, a large proportion of the grievances are pension-related and thus against the PPG department themselves. In any case, the PPG department do not do much to get the grievances redressed; they simply forward the complaints to the concerned departments, with hardly any follow-up, monitoring, etc.

The public grievances part of the PPG department should be tagged with the Administrative Reforms and Training (AR & T) department, on the pattern of the Government of India's Department of Administrative Reforms and Public Grievances.

2. Public Grievances Review Committee

A public grievances review committee should be constituted under the Chief Secretary. This committee should have mandatory monthly meetings to review redressal of public grievances, with the senior most Secretary of all concerned departments in attendance. The Additional Chief secretary can preside over the meeting when the CS is out-of-station.

Such high level review would not only force the departments to give due attention to public grievances but also help iron out any inter-departmental coordination issues. The monthly review cycle would also help timely redressal of grievances.

3. Director of Public Grievances

A Secretary or Joint Secretary from the department to which the public grievances part of the PPG department is tagged should be appointed as the Director of Public Grievances (DPG). This position should be responsible for coordinating redressal of public grievances by all departments. The DPG should be authorized to review public grievances with all concerned departments/ organizations, and also authorized to call for relevant records from the concerned departments in cases pending beyond a certain period. This Director could assist the CS-level review committee, and coordinate with HOD /DC/ SDO-level facilitation centres. The Secretariat-level facilitation centre (described below) can function under the control of the DPG. The RPRS programme can also be coordinated state wide via this Director. The DPG should maintain a website via which the public may lodge complaints, confirm receipts of complaints, check the status of their own complaints, seek other information, etc.

4. Secretariat-level Facilitation Centres

A number of information desks (5 or 6) should be opened in the circular building outside the Secretariat main gate, equipped with computers connected to a central server under the Director of Public Grievances, where a database will be maintained with updated information on public grievances and other information for which the visitors commonly come to the Secretariat. The information desks will access the database via a local area network (the Secretariat LAN that is being laid out right now could be extended to include these) and will give up-to-date information to the visitors.

The public can also access information from this database over the Internet from anywhere (CICs, cyber cafés, home or office computers, etc.). They can also use the same channels to lodge grievances.

For the software platform, the public grievances package developed by the NIC could be adopted with suitable modifications.

5. Directorate/HOD-level Facilitation Centres

Although all HODs with public dealings were supposed to maintain a PG cell in their directorates, enquiries from some major directorates have revealed that either such cells don¢t exist or they don¢t do any meaningful work. Instead of the PG cells of this kind, the HODs should open facilitation centers at their directorates on the lines of the DCs/ SDOs. The Director of Public Grievances at the Secretariat can also monitor the functioning of these facilitation centres.

6. DC/ SDO-level Facilitation Centres

Under orders from the Government, public facilitation centres have been opened at all DC and SDO (Civil) offices. However, the attention given to these centers depends much on the individual officer's interest. For this reason, these centers have not functioned well at some places. Therefore, it should be made imperative for the DCs/ SDOs to take personal interest in keeping these centres active. Moreover, to maintain the vibrancy of the system, the RPRS programme should be effectively monitored and evaluated on periodic basis. Also, the Divisional Commissioners as well as the proposed state-level Director of Public Grievances should monitor the functioning of these mechanisms regularly.

7. Mandatory, time-bound redressal (Receipt – Redressal – Reply cycle)

At all levels of the government, time-bound redressal of public grievances must be made mandatory. Receipt of the grievances should be promptly acknowledged, and reply to the complainant should follow the redressal without any delay. This receipt-redressal-reply cycle should be kept going on at all levels in a continuous quality improvement (CQI) mode. The DPG should be authorized to ensure this across the board in the Government offices.

8. Accountability of the Departments/ Government offices

All departments and Government offices must be made accountable for timely redressal of public grievances under their jurisdiction. Unless these entities turn around the complaints and provide timely data to the Director of Public Grievances, it would not be possible to maintain the recommended information desks near the Secretariat gate. Also, credibility of the government will suffer, since public expectations would be raised but the fulfillment part will be lacking. Therefore, the senior most Secretary of the department should be made responsible for timely redressal of public grievances involving the department. Also, a nodal officer should be designated in each department who will keep in touch with the Director of Public Grievances on a regular basis and will update the DPG's database in a timely manner.

9. Regular Analysis of the Public Grievance Trends

The trends emerging from the public grievances database should be analyzed at regular intervals to understand the nature, volume, causes, etc., of the complaints and to give meaningful feedback to the departments/

authorities concerned. This exercise will also help in keeping a finger on the pulse of the state of affairs in the state, which could prove to be a valuable input in ensuring good governance.

10. Periodic survey of the visitors to the Secretariat

The visitors to the Secretariat should be surveyed periodically to understand the reasons that bring them there, their problems, potential solutions, effectiveness of the measures taken by the government, etc. This could be done using a simple questionnaire (a sample is attached), selecting the respondents randomly from the line formed outside the Secretariat gate. It would be necessary to keep the questionnaire short, simple, and to the point, so as to avoid irritating the visitors and wasting a lot of time in filling out surveys. The questionnaire should be made available in the official and associate languages so that the visitor is given only the version with which he/she is most comfortable. The data so generated should be analyzed in the manner recommended above.

It would be more credible if this job were entrusted to some independent, non-governmental organization. Initially, the Assam Administrative Reforms Commission would conduct this survey.

Facilitation Centre at Ganaseva Bhavan for Assam Secretariat

Guidelines regarding Functioning of the Facilitation Centre have been finalised after detailed discussions in the Three Day Workshop held in Assam Administrative Staff College on 31.8.2004, 1.9.2004 and 2.9.2004.

Introduction:

A citizen-friendly Government should give high priority to redressal of public grievances since the Government being a service provider, it is bound to meet people's needs and aspiration. Effective and timely redressal of public grievances is a hall mark of responsive and responsible governance. This has become more important after enactment of Right to Information statues. The workshop has been organized in the context of implementation of the recommendations of the Reforms Commission relating to effective redressal of public grievances at Secretariat level. Commission has suggested that, an Additional or Joint Secretary level officer should be earmarked in the Department of Administrative Reforms as a full time Director of Public Grievances who should be responsible for coordinating redressal of public grievances by all the Secretariat Departments. DPG should have authority to review the pending public grievances of all the Departments and examine the records pertaining to such matters. The Secretariat level Facilitation Centre would function under the DPG, who would maintain a website via which the public may lodge complaints, and check the status of their complaints.

1. **Objective**

In most of the offices, there is no established method to give information to the visiting public. This causes much difficulty to the people who cannot easily gather information regarding the fate of their representations. To reduce this difficulty the Government had issued detailed instructions for organizing facilitation center in most of the offices having direct interaction with the public. But by efflux of time, most of these centers have become ineffective.

The following guidelines have been framed for setting up of and streamlining the functioning of the Facilitation Centre in the Assam Sachivalaya.

2. **Suggested Organisation of Facilitation Centre**

- Facilitation Centres shall be set up in the Gana Seva Bhavan, Assam Sachivalaya, Dispur.

- In the Secretariat, the Centre shall be under the control of the Secretary in charge of Administrative Reforms. Director Public Grievances will be directly responsible for its functioning.

- The Facilitation Centre is to function mainly as an interface with the visiting public to give information on and to answer queries regarding petitions given by them.

- The staff required to man the Centre shall be drafted from the Secretariat offices. Those who are willing to do the work and are found suitable will be preferred for posting.

3. **Staffing the Facilitation Centre**

- In the Gana Seva Bhavan there shall be three windows with permanently assigned serial numbers. Each of them shall be equipped with a computer. One Under Secretary level officer shall be in overall charge of the windows. He/she shall be assisted by two junior ACS officers, who shall initially visit the Nodal Officers of the concerned Departments for collection of information, till the Local Area Network is established with the Nodal officers of different departments.

- The Facilitation Centre shall be provided with computers to record the enquiries, other relevant details and to facilitate periodic monitoring of the stages of action on the petitions received and processed.

4. **Functions of the Facilitation Centre:**

- The most important function of the Centre is to respond to enquiries. If the enquiring person physically visits the Centre, the details shall be obtained in a prescribed format.

- The enquiry shall be serially numbered in the computer and a slip containing the number and subject will be supplied to the visitor. On his subsequent visits to enquire regarding the same matter the visitor shall bring this slip for reference.

- Once enquiry is numbered in the computer it shall be closed only when the issue is finally decided and closed by the concerned Administrative Department.

- Wherever a matter is not to be processed in that office, the visitor shall be politely told so and the appropriate officer to be contacted has to be intimated to him.

- Till the fully computerized information system is introduced the Officer in charge of the Centre shall gather information from the respective sections either over phone or through the officers posted in the Centre and pursuing the concerned file. The entire office shall be liable to show their files to the designated officer except where it relates to a vigilance case, purchases or any other classified information.

- The Facilitation Centre need not render itself a file processing section parallel to the one that is having the subject as their allotted work. What really is intended is to inform the visitor regarding the stage of action on an issue and to follow it up till disposal.

- The Nodal Officer of the concerned Department shall be responsible to function as the **Contact Point** for this purpose.

5. Handling of Enquiries

- When a serial number is allotted to a paper the officer in charge of the Counter shall gather the information from the nodal officer of the respective section at the earliest and pass it on to the visitor.

- In case the matter enquired into has to be located and verified, the enquiries received till a cut off time on every working day shall be replied to across the counter in the afternoon. In any case, every visitor should be told as to when he could come back to the counter to get the required information or contact over phone.

- All the departments/sections are bound to supply information to the officer in charge of the Centre. In complicated matters the file also may be made available to the Officer in charge for perusal. Nodal officer of the respective departments will be personally responsible to furnish information to the Centre.

- When the issue enquired about is kept pending for want of additional information from the petitioner, the fact may be intimated to the visitor.

- The enquiry shall be limited to issues affecting the person, group of people etc. general matters like the financial position of the State, Law and Order, Taxation etc. shall not be entertained as enquiries.

- When the enquiry is made by MLA/MP the instructions relating to the interaction with them have to be kept in mind and observed.

- The Facilitation Centre shall not add any paper or document to the file, which is given to them for perusal. In the same way, they shall not hand over the file to any other officer and only return it to the giver.

- Non supply of relevant information by any section or officer shall be brought to the immediate notice of the Chief Secretary or the Additional Chief Secretary by the Secretary in charge of the Department of Administrative Reforms. Such lapses that affect the credibility of the machinery of Government would be viewed seriously.

- The Facilitation Centre is only to facilitate the providing of information in response to enquiries to the visitors. The Sections and officers charged with the processing of papers should ensure that instructions relating to processing of papers are observed properly and any assurance given through the counters are also accomplished.

6. **Miscellaneous**

- Enquiries recorded at one window shall be followed up till the staff of the same window finally disposes of the matter.

- The list of enquiries shall also be drawn up department wise and supplied to the Secretary in charge of the subject. While holding the monthly staff conference of the department, the Secretary shall review the pendency with reference to the list also.

- Whenever possible the persons who make an enquiry during the office hours may be provided with information over phone also.

- The communication and gathering of information by the Centre Staff from the office need not be in writing. It may be either conversation over phone or in person.

- The establishment of the Facilitation Centre does not take away the responsibility of the higher officers to entertain visitors on important issues.

Publications of different departments re: functioning, projects, information etc. should be made available in this Centre for wide circulation.

CRM

Citizen Relationship Management (CRM)

Improving governmentøs relationship with the public
CRMøs vision for public administration

Customer Relationship Management (CRM)

Improving government's relationship with the public
CRM's vision for public administration

CRM stands for customer relationship management. If we think of the citizen as the customerö of public administrations and governments, we could call it: õcitizen relationship managementö.

Relevant CRM concept is a set of solutions and strategies focusing on:

- Improving services the administration provides to citizens.
- Making it easier for the citizen to gain access to government.
- Providing citizens with information about processes that involve them.
- Improving internal government processes.

When it interacts with the public, government must strive to:

- Know what kind of service and response citizen clients need.
- Focus on personal contact and meetings between citizens and government officers.
- Develop a strategy for managing relationship with the public.

Therefore, the most important steps are to define those processes that involve the public, manage all the information we have about the circumstances of citizensø involvement with government, use all available channels to communicate with citizen clients (visits, phone, internet, Fax, SMS, etcí ..) and, finally, design a set of services that add value for the citizen.

CRM Solutions
Technology obviously has a critical role to play in achieving the objectives outlined above. Today, governments and public administrations can exploit a vast range of advanced technology to collect and analyze information about citizens and communicate with them. And that is what a CRM solution offers: multiple communication channels to the local administration or government, so that citizens can access what they need, when they need it, to make a transaction, ask for information, etc. etcí . These interactions are stored in a common database that authorized people scan for citizen initiated inquiries, active files and flagged problem situations.

Steps in the implementation of CRM

An effective implementation of a CRM solution should follow these simple guidelines:

- Multichannel access; the objective here is to improve the quality of service offered to citizens by providing alternative channels of communication. This usually involves implementing a Call Centre or Contact Centre and also providing an internet connection.

- Simplicity; a CRM strategy should start by first managing the simple processes. Easy access (e.g. via the internet) to information or document downloads will help the public to become familiar with the new service. Experience from managing these simple processes will assist the administration in determining what is important to the public, and it can then respond accordingly.

- Single vision of the Public Service; If citizens are offered a single point of contact for accessing related public services they will perceive they are dealing with well organized government departments. By integrating different applications behind a common entry point, citizen clients can easily obtain all related information through just one layer of access.

- Personalization; it is important to offer particular categories of client (e.g. senior citizens) the information they typically need. With technically advanced capacity for information analysis, the CRM solution can classify information about the population and group individuals accordingly. This enables administrations to design services and launch information campaigns targeting specific groups with the information they need.

- Pervasiveness; finally the most complex processes must be defined and modeled in order to apply process automation to every area and to every point of contact.

CRM Benefits

The important benefits of CRM to the public are improved client satisfaction levels resulting from reduced response times, and easy communication via channels of choice, including 24 hour internet access. The advantage to government is that happier clients naturally improve the personal satisfaction level of the administration's employees, and by leveraging CRM technology to collect and analyze citizens' feedback, departments are better equipped to improve delivery of required

information and services, which has an additional positive impact on client satisfaction.

Chapter IV

Rationalization of Government Departments

Rationalization of Government Departments

The Commission, after reviewing the existing formation of different Government departments in Assam and studying the consolidation patterns of different state governments, particularly the one implemented by the Government of Chattisgarh, recommends that the allied departments in the Government of Assam should be grouped together in the following manner so as to make the departments streamlined, cohesive and performance-oriented. Such rationalization and consolidation will also reduce the overlapping of functions across different departments.

Recommended Departments	**Departments/ subjects to be included**
1. Administrative Reforms & Training	1. A. R. & Training 2. E-Governance 3.Public Grievances (from PPG Dept)
2. Agriculture	1. Agriculture 2. Fishery 3. Veterinary & Animal Husbandry
3. C. M.øs Secretariat	1. C. Møs Secretariat 2. Parliamentary Affairs 3. 20-point programme (from P&D) 4. Monitoring Cell
4. Education	1. Higher and Technical Education 2. Secondary Education 3. Elementary Education (Museum, Archaeology and Library Services may be transferred to Cultural Affairs)
5. Election	No change
6. Environment & Forests	1. Environment & Forests including Pollution Control 2. Soil Conservation
7. Food, Civil Supplies & Cooperation	1. Food and Civil Supplies 2. Cooperation
8. Health, Family Welfare & Public Health Engineering	1. Health & Family Welfare 2. Public Health Engineering

9. Hill Areas	No change

10. Home	1. Home
	2. Political
	3. Border
	4. Passport
	5. Transport (regulatory/enforcement parts)
	6. Implementation of Assam Accord

11. Industries & Commerce	1. Industries & Commerce
	2. Public Enterprises
	3. Handloom, Textiles & Sericulture
	4. Mines and Minerals

12. Law	1. Legislative
	2. Judicial

(LR should be an independent entity not under any department, but administrative assistance may be provided through the Law Department)

13. Panchayat & Rural Development	No change

14. Personnel	1. Personnel
	2. Secretariat Administration
	3. General Administration
	4. Printing & Stationery

15. Finance	1. Economic Affairs including Budget
	2. Expenditure
	3. Revenue, including Commercial Taxes, Excise, Land revenue, Stamp & Registration and Motor Vehicle taxes
	4. Pension

16. Planning & Development	1. Plan Finance
	2. State Plan (including additional resource mobilization)
	3. Economics and Statistics
	4. Monitoring & Evaluation

17. Power	1. Electricity
	2. Non-conventional Energy Sources

18. Public Works	No change

19. Land and Disaster Management	1. Land management excluding land revenue
	2. Disaster Management

	3. Relief & Rehabilitation
20. Social Justice & Empowerment	1. WPT&BC including SC
	2. Labour & Employment
	3. Minorities Development
	4. Char Areas Development
	5. Social Welfare
	6. Women and Child Development
21. Sports and Youth Welfare	No change
22. Information Technology, Science & Technology	1. Information Technology
	2. Science & Technology excluding Pollution Control and Non-conventional Energy Sources
23. Culture, Tourism, Information and Public Relation	1. Culture
	2. Tourism
	3. Information & Public Relations
	4. Museum and Archaeology (from Education)
	5. Library Services (from Education)
24. Urban Development	1. Urban Development
	2. Guwahati Development
25. Water Resources	1. Flood Management
	2. Irrigation

After consolidation of State Government Departments in groups having allied activities, the following principles should be followed in posting of Secretaries:

- Charges like Home and Personnel should be headed by the Chief Secretary himself assisted by senior Secretaries.

- Finance & Planning may be headed by an Additional Chief Secretary, assisted by senior Secretaries.

- Chief Secretary & Additional Chief Secretary may be assisted by senior Secretaries like Commissioner & Secretary as branch in-charges with clear-cut job charts and key performance areas.

- Second category of major charges like Education, Social Justice and Empowerment, Forests & Environment, Revenue, Relief & Rehabilitation, Health and P.H.E., etc. may be headed by Principal Secretaries.
- Other charges may be headed by Secretaries.

- The rank of the Secretary should be upgraded to supertime scale of IAS, like other major States.

- The present grade of Secretary may be designated as Special Secretary, and officers of the selection grade in IAS (minimum 13 years of service / equivalent seniority in ACS) should only be posted as Special Secretary.

- Special Secretary/ Additional Secretary/ Joint Secretary may be posted as branch in-charge of the aforesaid departments, each one of them having clear-cut job charts and key performance areas.

- Deputy Secretaries and Under Secretaries should work as Desk Officers.

- A few posts of Head of Departments, viz. Director of P & RD, DLR, Director of Industries & Commerce, and Commissioner of Taxes should be filled up by super time scale IAS officers.

- No IAS officer having less than 10 years of service and ACS officers having less than 20 years of service should be posted as Deputy Commissioner. This is essential, as the DC is required to function as the leader of all the Government Departments at District level. This objective could be achieved only if the DC has adequate administrative experience and wisdom to carry on district level officers of other departments as well as district level public leaders with him.

- Divisional Commissioners should be full time officers with headquarters as notified by Government at the time of creation of the post of Divisional Commissioner. No Secretariat assignment should be given to the Divisional Commissioner, whose primary responsibility should be periodic inspection of offices of DCs, SDOs, Circle Officers, Block Development Officers, Municipalities, etc. Such inspections will improve the efficiency of the Government Departments at the grass root level. They should also monitor overall law and order situation of their Divisions and keep the Chief Secretary informed.

- Divisional Commissioners should also function as Divisional Development Commissioners, for timely coordination and implementation of all development programmes including rural development. For this purpose, they must have powers to exercise control over the field-level development departments. They should also be responsible for timely redressal of public grievances ó and responsible for monitoring the system of redressal and evaluating the quality of redressal.

- Ad-hoc appointment of officers in different grades should be stopped forthwith. Officers must have fixed tenure with adequately explicit job charts and key areas of performance so that accountability could be fixed

in case of failure. From the experience, it has been found that the officers having several charges in different departments on ad-hoc basis are not able to do justice to any of the departments, and as a result, Government functioning suffers.

Chapter V

Compilation of Annual Administrative Report by
State Government Departments

Compilation of Annual Administrative Report by State Government Department

With a view to streamlining the functioning of Government departments as well as bringing transparency, the Commission recommends that each Department of State Government should compile and publish an Annual Administrative Report covering the period from 1st April to 31st March. The Report must contain objectives of setting up of the Department as well as offices and agencies under its administrative control; the administrative structures indicating number of personnel in each structure; its functioning in the relevant year highlighting the achievements and failures. This Report should invariably be published within 30th June of each year and circulated widely.

The relevant rule regarding preparation of Annual Administrative Report as incorporated in the Manual of Secretariat Office Procedure should be appropriately amended.

Chapter VI

E-Governance

E-Governance

With a view to introducing E-Governance in the State Administration, the Assam Administrative Reforms Commission recommends that the following steps should be taken on a priority basis:

1. Functioning of the proposed Information Technology Department should commence immediately as it is already delayed.

2. Each Department must have an I.T. plan, which has to be implemented on annual basis. Common software for tracking all files, file movements, grievance redressal, etc. should be used by all the Secretariat Departments. At least 5% of the budget of the Department should be earmarked for computerization.

3. Each Department and each important public agency, e.g., Zila Parishads, DRDAs, etc., must have a well defined website of its own, hosted by a duly authorized agency, preferably a Government agency, like, NIC, AMTRON, etc. These websites should be updated regularly, at least once a month and also after any important change. These should also be interactive, so that people could give their feedback and access information through them from the Government.

4. Each Department/ Public Agency funded by Government must have digitized data base for all the categories of employees as per the common format prescribed by the Government as advised by Asian Development Bank.

5. Each Secretary holding a Department must have a MIS (Management Information System) with relevant database, so that he/she can exercise effective control over the functioning of the Department.

6. The LAN installed in the Secretariat should cover all the departments as early as possible. There should be extensive use of E-mail in the State Government Administration for quickening communication as well as reduction of telephone bills.

7. Government of Assam should have the State Wide Area Network. Initially, this may perhaps be done by interlinking the 219 CICs with Sub-Divisional and District Head Quarters as well as State Capital at Dispur.

8. As a first step, all the staff in the Secretariat, irrespective of seniority, must be appropriately trained in computer operation so that common software can be used across the Secretariat.

9. Typists and stenographers in all Secretariat departments must be trained for working on computers. Manual typewriters in the Secretariat should be phased out and substituted by computers, except keeping a few as standby. The cadre of typists should be abolished and the present typists may be designated as data entry operators.

10. The LAN should be used for most communications, and except matters that are confidential in nature, service matters, and matters before the courts, all the rest of file work should be done on computers.

11. Each Department must immediately create databases covering the subjects dealt with in the department, with built-in system for regular updating of such databases. Provision must be made for sharing data among the departments whenever required.

12. The Departments should not set up individual info. kiosks at the field level; common kiosks should be set up at the district or the block level, covering all the concerned departments. The CICs could also be used for this purpose.

13. All Citizens' Charters must be put on the web and all the services that citizens most frequently need and use should be provided locally as a part of e-Governance, as has been done through 'GYANDOOT' Programme.

14. The Departments of Transport, Taxes, Police and Revenue should be computerized on a priority basis, including all check-gates like Srirampur Baxirhat, etc.

15. For communication with District, Sub Divisional and other field offices, the Internet facility should be extensively used. Messages related to only law and order should be sent through Police Wireless System., as using Police Wireless System for sending all types of messages is a very costly proposition.

16. The provisions of the Information Technology Act, 2000, where digital signatures have been legalized, should be given wide publicity, so that not only the officials but also the general public are aware of this provision.

17. Payrolls in all departments should be computerized. This would speed up the work and also economise on the costs involved.

18. Recruitment rules of all the departments should be suitably modified so that appropriate computer skills are made mandatory for all entry-level direct recruitments.

19. Government employees should be encouraged to acquire computer skills relevant to daily office use within a specified period. For this purpose, the government should introduce incentive schemes to motivate employees.

20. The Government of India, in the Ministry of Information Technology, has adequate funds for helping the States in introducing E-Governance. Asian Development Bank has also provided fund for this purpose. Thus, there would be no dearth of fund for introducing E-Governance in Assam.

The **Bhumi** Project introduced by the Karnataka Government, covering all the areas of revenue administration, should be introduced in Assam also at the earliest with suitable modifications. The Government of India is prepared to provide 100% finance required for this purpose, and the Government of Karnataka is prepared to help with technical know how.

As an experimental basis, registration of documents in Kamrup Metropolitan District should be computerized. NIC has necessary expertise in this regard, since such computerization has been done by NIC in other states. Computerized registration of documents should cover all the districts in phased manner.

National Workshop on E-Governance
held on October 15 & 16, 2004
Assam Administrative Staff College,
Jawahar Nagar, Guwahati

Organized jointly by Assam Administrative Reforms Commission, Department of Administrative Reforms & Training, Government of Assam and   Asian Development Bank

Objective

To build a common understanding of Government of Assamøs E-Governance objectives and explore solution to key issues.

Shri Tarun Gogoi Honøble Chief Minister, Assam inaugurated the Workshop

Key Findings and Recommendations:

1. Implementation of a Government of Assam E-Governance Policy (to be built upon the Government of Assamø existing Information Technology Policy ó vision and objectives) that serves as the appropriate tool and foundation to achieve the Chief Ministerø vision of a State that CARES (i.e. providing **committed, accountable, responsible, efficient and service oriented** Government)

2. Establishment of a State E-Governance Mission to prepare and manage the implementation of a State E-Governance roadmap for all State E-Governance initiatives, whereby the key responsibility of the E-Governance mission is to manage, facilitate and support the implementation of an Integrated Government Management Information System (IGMIS).

3. Preparation of a State roadmap for implementation of an integrated IGMIS, which includes:

   - Defining roles and responsibilities of all key stakeholders (Administrative Reforms Commission, Department of Information Technology, AMTRON, NIC, etc.) and implementing agencies (all executive and line departments);

   - Preparing inventory of existing IT resources (hardware, software, networks, trained users, etc.);

   - Defining phased approach and time bound action plan for implementing an integrated financial management (including budgeting, planning, accounting, financial and management reporting, etc.), procurement (including contract, project management, etc.), and human resource management (including employee database, payroll, etc.) approach across all State departments (data collection, systems can be interfaced and compatible;

   - Identifying, prioritizing, and facilitating implementation of E-Governance initiatives for improving Government of Assamø service delivery and accountability and transparency to citizens, such that E-Governance activities with high visibility and coverage and immediate impact are prioritized and implemented; and

   - Identifying available finance (central including NEC, state, private sector ó banks, etc., development agencies ó Asian Development Bank, World Bank, Others, etc.) and developing and managing partnerships.

4. The Mission and the State Roadmap should be guided by the following key principles:

- Required integration of all E-Governance departmental initiatives according to the State's defined framework;

- Common hardware and software platform;

- Single point of capture of all data;

- Multi user access to a unified State database/s (financial, human resource, etc.);

- Use of existing readily available software solutions rather than developing from scratch, that will build on existing applications (revenue, treasury, etc.);

- Incorporate lessons learned and experiences of other states;

- Need for an effective change management strategy to orient all Government of Assam staff and enable successful implementation of E-Governance/ IT systems across all departments;

- Need for a strategy for extensive and continual IT training for all potential Government of Assam users;

- Need for alignment of E-Governance / IT systems with recommendations of departmental functional and process review;

- Need for extensive and continual public awareness campaign to enable communication of benefits of E-Governance initiatives to citizens;

Chapter VII

Decentralisation of powers upto Divisional level vis a vis strengthening of the role and powers of Divisional Commissioner

Decentralisation of powers upto Divisional level vis a vis strengthening of the role and powers of Divisional Commissioner

The institution of Divisional Commissioner has been working very satisfactorily in some of the major States of the country. In these states, the Divisional Commissioner is functioning as the eyes and ears of the State Government on the one hand, and as a friend, philosopher and guide to the district administration on the other. Administrative functions and duties of the Divisional Commissioner relates primarily to supervision and co-ordination. These functions are quite specific and wide in respect of revenue, law and order and development administration.

The Commission feels that the institution of Divisional Commissioner should be developed as an effective instrument of the government at the regional level so that it could function effectively. Moreover, the supervisory and co-coordinating role of the Divisional Commissioner is very important for streamlining of the administration and expeditious execution of programmes and works at the field level. Many of the appeals under different Acts and rules, which are now heard at the Secretariat level, could be delegated to the respective Divisional Commissioners, and such a step would bring the administration closer to the people at the field level. In this context, the Commission would suggest that:

1. Only the senior-most Commissioners having adequate district and Secretariat experience should be posted as Divisional Commissioners.

2. Minimum tenure of an officer as Divisional Commissioner should be 3 years, in view of the importance and wide range of his duties and functions.

3. The jurisdictions of the Divisional Commissioner and the DIG/IG Range should normally be co-terminus and their headquarters should be at the same station so that this important duo at the regional level could function in close coordination and perfect harmony.

4. The Divisional Commissioner should be specifically recognised as the leader at the regional level and should be equipped with suitable powers for effecting coordination among different departments and monitoring of progress. He/She should exercise all the powers and authorities as prescribed in the Executive Manual.

5. As recommended earlier, the Divisional Commissioner should oversee the system of redressal of public grievances in the district

level and should be authorized to intervene in appropriate cases and to issue directions in cases of default.

6.   The Divisional Commissioner should be empowered to exercise supervision and inspection over the urban local bodies as well as the Panchayati Raj Institutions, so as to be able to offer guidance and to recommend correctives, where necessary.

7.   It should be imperative for the regional level officers of the government departments to comply with the directives given by the Commissioner, and if, for some reason, they are not in a position to do so, they should refer the matter to the respective Heads of Departments for order under intimation to the Commissioner. The Head of Department must give due weight to the recommendations made by the Commissioner in such matters and if, in any case, they are unable to accept the Commissioner's advice, they should report the matter to their respective administrative department of the government for decision.

8.   The Commissioner of the Division should review the ACRs of the district/ regional-level officers of the line departments. Alternatively, a special report should invariably be obtained from the Divisional Commissioner regarding the annual performance review of the district/ regional-level officer of the line departments, which should form a part of the ACRs of these officers.

9.   Tour programmes and tour notes of all regional level officers should invariably be endorsed to the Commissioner. Whenever a regional officer proceeds on leave, the Commissioner should be informed in advance, and if the Commissioner feels that in the interest of the government works the officer should not proceed on leave during that period, he may advise the administrative department of the government accordingly.

10. The Divisional Commissioner will keep himself/herself constantly posted with the law and order situation of the division and ensure that it is effectively maintained. He/she will meet at least once in a quarter with the DIG/ DCs/ SPs of the division to review and coordinate matters relating to law and order in his/her jurisdiction. He/she will send a monthly law and order review of the division, based on reports received from districts, for consideration of the State Government. This report should be addressed to the Chief Secretary.

11. **The Divisional Commissioner, functioning as regional coordinating and supervisory authority in the field of planning & development, will be responsible for supervision, coordination, monitoring and review of all development activities/ programmes in the division. He/she will ensure necessary support and guidance as well as action in the planning & development activities without in any way inhibiting the process, which has been developed at the district level.**

12. **To be constantly in touch with the development activities in the field, the Divisional Commissioner may call for information and periodic progress reports from the implementing agencies. Copies of all periodical progress reports prescribed to be submitted to the government will invariably be endorsed to the Divisional Commissioner.**

13. The Divisional Commissioner, being the senior most Revenue Officer, will be in overall charge of revenue administration in his/her jurisdiction. He/she should be authorized to appoint ministerial and class-IV staff of his office and also function as the senior most Establishment Officer in respect of the officers and staff of the General Administration and Revenue Departments in the Division.

14. The Divisional Commissioner will look after the management of inter-state/ international boundary/ boundaries within the Division and ensure development of border areas as per Government Policy and decisions. For this purpose, he/she will maintain necessary liaison with the other Divisional Commissioners/ Deputy Commissioners having such areas under their jurisdiction.

15. In emergencies, the Divisional Commissioner should have the powers to: (a) temporarily deploy any Government officer/ employee of the Division (other than Police Personnel) below the rank of a Sub-Divisional Officer to any place within the Division, (b) initiate departmental proceedings against any Government officer/ employee except the Police and the regional/ district heads of departments.

16. **Detailed exercises should be undertaken for delegation of more powers particularly appellate powers from the government to the Divisional Commissioners in the interest of speedy disposal of Public Grievances.**

17. Inspection being an important tool of administration, one of the most important functions of the Divisional Commissioner will be periodic inspection of district, sub-division, circle and block offices, district

jails, etc., for which the Commission would like to prescribe a tentative time-table for consideration of the Government.

Yearly Schedule for Inspection by Divisional Commissioners:

•	Own office	Once in a year
•	D.C.søoffices, including District Treasury, Registration Office, etc.	Once in a year
•	S.D.O.søoffices	50% in a year by rotation
•	Circle offices	25% in a year by rotation
•	Block offices	20% in a year by rotation
•	District Jail	Once in a year by rotation
•	Sub-Divisional Jail	25% in a year by rotation

The Commissioner should also inspect at random other offices and institutions as prescribed in the Executive Manual.

Inspection being a very important instrument of administration, a proper system of inspection is considered to be an essential pre-requisite for efficient administration and, therefore, the inspections, in order to be effective and meaningful, should be thorough and exhaustive, and should cover all the important aspects of the functioning of the office and officers. For this purpose, a checklist for inspection of each office should be laid down. Inspection should be constructive in nature, and should emphasize the advice, guidance and action points in respect of deficiencies noted.

Follow up of the inspections is as important as carrying out inspections. There must be a proper system to ensure timely compliance of the directives recorded in the inspection note.

18. **In view of the increasing financial responsibilities of the lower level functionaries in the districts in respect of fund utilization, the Divisional Commissioner's office should be empowered to conduct regular audits and to ensure submission of utilization certificates in time by various agencies to the Government. For this purpose, a fairly senior Audit Officer with a group of auditors should be posted in the Divisional Commissioner's office.**

19. The Divisional Commissioner's office should be a Mini Secretariat for coordination of various Government activities undertaken within the Division.

20. The Divisional Commissioner's job should be a full time job. He/She should be at the Divisional Headquarters without any additional secretariat assignment. One ADC-level officer as Senior Staff Officer and a minimum of two SDO-level officers as Staff Officers should assist him/her in discharging his/her duties.

21. The HQs of the Hills & Barak Valley Division should be at Silchar for better supervision of the field-level work in the Division.

Chapter VIII

Revamping of Delivery System

Revamping of Delivery System

Recommendations for Revamping of Delivery System dovetailed with Effective Monitoring & Evaluation System

The recommendations are for system level, applicable in principle to many sectors, some applicable even to the entire public delivery system. The concerned departments/organizations may develop the necessary details at their level.

A successful Delivery System must adhere to the following objectives :

- **it must promote transparency**

- **it must ensure people's, particularly users' participation**

- **it must provide for social auditing**

1. Rationalize the structure and functioning of the departments in the field level as well, on the lines recommended earlier for the Secretariat level, since the same rationale (overlapping of functions, etc.) generally applies down the line in the departmental delivery system in the field. Delivery System in the field should be integrated one, for example, allied activities of the agriculture, fishery, veterinary, etc. departments could be taken up in a coordinated manner.

2. Decentralize governance to the Divisional level and then to District level for more effective co-ordination of the field-level delivery system of various departments, better monitoring of the quality of delivery system and more timely feedback for improvement.

3. Redesign the *Raijor Podulit Raijor Sarkar* (RPRS) programme for improving the delivery system. For this purpose, the programme will have to be oriented more towards service delivery, since the current impression is that the programme overemphasizes public grievance petition collection. RPRS should also provide for spot redressal of public grievances with arrangement for periodic redressal of grievances needing back office references, by senior officers at least at the Block headquarters level.

4. Cover urban areas under RPRS with as much emphasis as in rural areas, albeit with a different approach. Government of India have prescribed some methodology under the various Central schemes, which could be dovetailed with RPRS.

5. Pay adequate attention to urban service delivery system and urban poverty alleviation programmes, as Central assistance is available for this purpose.

6. Arrange training for the elected representatives of the Urban Local Bodies (ULBs) as well, on the lines of the Panchayati Raj Institutions (PRIs), for capacity building and proper orientation towards making ULBs vibrant institutions of urban development and effective service delivery.

7. Consider devolution of enough responsibilities and resources to the ULBs as well, as per the provisions of the 74th amendment to the Constitution.

8. Expedite devolution of functions, functionaries and funds to the PRIs for the identified subjects so that rural delivery system could function as per the people's preferences.

9. Give all welfare programmes aiming at alleviation of rural poverty to the PRIs for execution.

10. Accelerate and sustain the pace of capacity building of PRIs by way of imparting training for both elected representatives and staff, deciding on the adequate staffing pattern, etc., so that PRIs have absorption capacity to take up the responsibilities of the subjects to be devolved to them.

11. Avoid thrusting schemes of one department upon another department for implementation, since the other department may not be very enthusiastic about taking the additional responsibility and in the process service delivery may be affected.

12. Keep schemes of a similar nature in one department, the one most suitable for them, for the sake of better co-ordination of delivery system and efficient utilization of resources.

13. Develop and implement tailor-made training modules for all employees involved in the delivery system for equipping them with the necessary values, mindset and skills for effective service delivery to the user public. Enforce sets of 'Dos and Don'ts' for public employees at various levels, emphasizing the basic aspects of performance and behaviour expected of all persons involved in the delivery system.

14. Build objective, achievable and practical performance indicators into the employee performance appraisal system for the key players in the delivery system.

15. Delivery System should be public demand-driven and proactive instead of governmental resource supply-driven, particularly in sectors where the role of the delivery system is to disseminate knowledge, technology, etc. while the primary activities remain in the private domain, for example, extension-based service delivery in sectors like agriculture, fishery, veterinary, etc. Here, the Extension Officers ó the key players in the delivery system ó would do better by working like private sector consultants to the beneficiaries, reaching out to the beneficiaries, generating demands for their services and then fulfilling those demands. Such services could be redesigned and the structure of incentives should be changed to align employee motivation and delivery system goals.

16. Reorganize service delivery organizations when the basis of their territorial jurisdictions changes for some reason, for example, the **Gaon Panchayat Samabai Samitis (GPSSs),** which are key players for PDS in rural areas, are still based on GPs of the olden times, thereby creating difficulties in effective control over PDS by todayøs GPs.

17. Select sites for locating important facilities in the delivery system, such as the **Primary Health Centres (PHCs),** schools, marketing centers for **Self-Help Groups (SHGs)**, etc., based on practical criteria of public demand, convenience, accessibility, etc., from the point of view of the actual users. The delivery system may be improved by relocating these organizations from sites that have not found favour with the user public or where there is practically no demand for service.

18. Encourage and support the emergence of private sector and NGOs as providers of needed services, based on peopleøs preferences and efficiency criteria, for example, in healthcare, education, **IT-enabled services (ITES),** tourism, cultural affairs, sports, hospitality industry, etc., where private players are gaining popularity. In such sectors, public delivery system may play a complementary role as well as the role of the safety net provider.

19. Protect public interest and consumersø rights in service delivery through private sector and NGOs, for which suitable regulatory mechanisms must be developed and enforced in a fair, objective and transparent manner. The need is particularly imminent in healthcare and education.

20. Consider granting functional autonomy coupled with professional management to public sector organizations with significant role in the delivery system and having potential for becoming well-managed organizations. Examples could include the medical colleges, major hospitals, some educational institutions, and even some carefully selected **public sector undertakings (PSUs).**

21. Explore the scope of public-private partnerships in the delivery system. These could be of help in areas where the primary responsibility should remain with the government but the goods and services can be more efficiently produced and delivered by private sector or NGOs, particularly areas where innovative and novel approaches are needed or the government has to emerge as agents of social change, for example, total literacy campaign, health education, HIV/AIDS awareness programmes, anti-drug abuse interventions, development of women and children, empowerment of the weaker sections, etc.

22. Make the delivery system at all levels responsive to emerging citizen demands. Choose the correct organizational form to fit the type and purpose of service provided, and improve the capacity of Government Agency to deliver citizen-centered services. New structures should be complemented by citizen-centered management system and corporate culture to ensure that service improvement occurs. Service standards must reflect aspects of service that are important to citizens and must relate to citizensø expectations.

23. Categorically stipulate the roles and responsibilities of the service providers with inbuilt mechanisms for reducing cost and eliminating overlap and duplication. Public services should be business-like, generating revenue where possible, and keeping account to find out result vs. cost where services are rendered *gratis*.

24. Allocate adequate resources to meet service priorities, and strengthen the strategy formation and periodic planning process to meet the changing needs and demands of the delivery system.

Monitoring & Evaluation System

25. Put in place an effective monitoring and evaluation system dovetailed with the delivery system at all levels. This monitoring and evaluation system shall have to cover the key persons involved in the delivery system at each level, for whom a periodic, participatory **performance**

evaluation system shall have to be evolved, based on objective and achievable criteria, so that accountability could be ensured, and proper feedback and appreciation/ corrective action could follow.

26. Follow a **gap analysis** approach in the monitoring and evaluation system at the programme or scheme level so as to close any service gap between citizenøs expectations and service delivery. For this, there should be provision for feedback to frontline staff managers and political leaders about programme efficiency and effectiveness.

27. **Periodically evaluate** each governmental agency (at least once every year; if possible, once every quarter) to see how effectively that agency is meeting its mandate. Such evaluation could be done internally or externally (through some independent organization) or both, and the report could form a part of the annual report of the government agency.

28. Use **benchmarking** tools for measuring performance and identifying areas of success or deficiency in service delivery. These tools should be used in a fair and objective manner so as to encourage desirable practices and to facilitate change in a supportive manner.

29. Involve the **stakeholders** of the projects in planning the monitoring and evaluation process and reviewing the monitoring data, so as to allay their apprehensions about the monitoring process and the impact of its outcomes on their interests and to secure their active participation in the process.

30. Take help of IT (**Information Technology**) tools, including computerized databases and electronic communication systems, to collect, collate and analyse the monitoring and evaluation data in a timely and transparent manner. These will also facilitate real time data capture operations necessary for the concurrent evaluation of certain programmes and schemes.

31. Activate the **Monitoring Cell** in the CMøs Secretariat (or under the Planning & Development Dept.) to monitor the important programmes and schemes of the various departments. This Cell should be headed by a fairly senior officer, and should be adequately supported with computers and staff. All concerned departments/ Government agencies should provide timely and authentic data and information to this Cell, and the top decision-makers in the government should regularly review its reports for the sake of taking further necessary action. If it functions properly, this Monitoring Cell could become an effective internal watchdog for the government.

32. Create a well-networked, IT-based **Executive Information System (EIS)** as a decision support system for the top decision makers in the government, with updated and comprehensive data backup covering all the important sectors, so as to facilitate real time supervision of the delivery system at the higher levels of governance. Similar **Management Information System (MIS)** tools could also be developed at various levels down the line at the head of the department, division, district, sub-division, development block, etc.

33. Consider setting up an independent, external watchdog body on the lines of the **Centre for Good Governance** of the Andhra Pradesh Government, with eminent persons in the field of public administration, finance, economics, corporate governance, etc., as members, and with a mandate to keep an eye on the structure, process and outcomes of governance under the State Government. Such a body could take up the task of monitoring and evaluation of important state government programmes as well as monitoring the progress of reform efforts, and could offer its considered views and recommendations to the State Government on a regular and ongoing basis.

Chapter IX

Vigilance Set up for the State

Vigilance Setup for the State

The Administrative Reforms Commission examined the existing vigilance set-up of the State and after hearing the views of senior officials connected with the vigilance matters the Commission makes the following recommendations.

State Vigilance Commission

The Government Notification No.PLA/78/97 dated 30-10-81 as well as Government Resolution dated 30th September 1964 have adequately enumerated the functions of the State Vigilance Commission (One man Commission), but it appears that the Notification issued on 3rd August 2001, which is in force now does not explicitly spell out the scope and functions of the State Vigilance Commission. Therefore, Government may modify the Notification NO.PLA(V)80/2001/5 of 3-8-01 and re-issue the Notification incorporating proviso mentioned below-

õWith a view to strengthening the vigilance measures for prevention of corruption, the State Government have decided to set up a one man State Vigilance Commission headed by the State Vigilance Commissioner and lay down its powers and functions in succeeding paragraphs.

The powers and functions of the State Vigilance Commission will be as follows:-

The State Vigilance Commission will have jurisdiction and powers in respect of matters to which the executive power of the State extends;

1. To cause an enquiry or investigation to be made into:

   (a) any complaint that a public servant had exercised or refrained from exercising his powers for improper or corrupt purposes;

   (b) any complaint of corruption, misconduct, lack of integrity or other kinds of malpractice or misdemeanor on the part of the public servant including members of the All India Services serving in connection with the affairs of the State Government;

2. To take over under its control such complaints, information or cases as it may consider necessary for further action which may be either:-

   (i) to ask the State Anti-Corruption Branch to register a case and investigate it. The Anti-Corruption Branch will inform the

Commission of the result of the investigation and if the Anti-Corruption Branch is of the view that a prosecution should be launched;

(a) will forward the final report of the investigation to the Political Department through the State Vigilance Commission, if sanction for such prosecution is required under any law to be issued in the name of the Governor. Comments of the Administrative Department on the investigation report will be obtained by the Political Department. Such comments with other relevant records will be forwarded to the Commission within 30 days of receipt of the report, who will advise whether or not prosecution should be sanctioned.

(b) if any authority other than the Governor is competent to sanction prosecution, the Anti-Corruption Branch will forward to such authority the investigation report for sanction for prosecution. If such authority does not propose to accord sanction sought for by the Anti-Corruption Branch, it will forward the case together with its view and other relevant records to the Commission for advice through the Political Department. Further, action will be taken by the authority concerned after considering the advice of the Commission, or

(ii) to ask the Anti-Corruption Branch to make an enquiry. The Anti-Corruption Branch will furnish the report of the enquiry together with other relevant records to the Vigilance Commission who will then advise the Administrative Department as to the course of further action to be taken or

iii) to entrust the matter for enquiry to the Administrative Department concerned. In such cases, the Appointing Authority will immediately make a preliminary enquiry to verify the allegations and will submit his report together with other relevant records to the Commission. The Commission will advise the department concerned as to the further action to be taken.

3. The Vigilance Commission will, where it considers necessary, formulate proposals for the prevention and control of corruption and may;

a) advise Government regarding chances in procedure and practice with a view to eliminating changes of corruption;

b) the State Vigilance Commission will have authority to scrutinize and guide State Government Departments and other Agencies and organizations under the control of the State Government in the spheres of execution of works particularly with regard to proceedings for award of contracts, purchase of stores, supplies, procurement of inputs, grant of permit, license lease etc involving accrual of revenue to State Government, as well as outflow of money from the State Exchequer.

c) advise about methods/procedures for redress of public grievances;

d) call for reports, returns, statements and other information as may be necessary from all departments/offices/corporate State Undertakings so as to enable it to exercise general check and supervision over the vigilance and ante-corruption works in the departments/ offices/ undertakings;

e) obtain information about action taken on its recommendation.

f) submit an annual report to Government about its activities drawing their attention to any recommendations made by it in respect of the functions enumerated above and which has not been accepted or acted upon and a copy of the report together with a memorandum explaining the reasons for non acceptance of any recommendations of the Commission will be laid by the Government before the Legislature.

4. The Vigilance Commission will formulate its own regulations for the conduct of its business.

5. The State Vigilance Commission will be attached to the Political Department but in exercise of its powers and functions it will not be subordinate to any department and will have the same measures of independence and authority as the State Public Service Commission.

6. The State Vigilance Commission may where necessary, initiate proposals for prosecuting persons who are found to have made false complaints of corruption or lack of integrity against public servants.ö

The Administrative Reforms Commission further recommends that-

(A) There should be fixed tenure of three years, for the State Vigilance Commissioner but not beyond the age of 65 years. Functioning of the Directorate of Vigilance and Anti-corruption should be under the control and supervision of the State Vigilance Commission. There should be a competent legal and prosecution cell attached to the Directorate.

(B) Enactment of Corrupt Public Servant (Forfeiture of Property) Act should be expedited, and the Central Act, the Benami Transaction (Prohibition) Act, 1968 should be implemented in the State. Submission of Annual Property Return by all the public servants should be made mandatory by amending existing law or by enactment of new law.

(C) **State Vigilance Commission** should monitor the functioning of Chief Vigilance officers attached to different Departments.

(D) **Eligibility of State Vigilance Commissioner:**

State Vigilance Commissioner should be appointed amongst persons-

Who have been or are in All India Service holding a post not below the rank of Additional Chief Secretary of the State having knowledge and experience in the matters relating to vigilance, policy making, and administration including police administration.

(E) Selection of State Vigilance Commissioner:

Every appointment of in the post of State Vigilance Commissioner shall be made after obtaining recommendation of a committee consisting of-

- Chief Minister
- Speaker of the Legislative Assembly
- A sitting Judge of the High Court (to be nominated by the Chief Justice) or the Chairman, Assam Human Rights Commission.

State Vigilance Commissioner should enjoy the status of the Chief Secretary of the State. State Vigilance Commissioner should be appointed by the Governor by warrant under his hand and seal, and he should be administered the oath of office.

On ceasing to hold office, the State Vigilance Commissioner shall be ineligible for further employment to any office of profit under the State Government.

State Vigilance Commission should have a Secretary, whose rank should be Joint Secretary to the State Government or above, and other office staff.

Chief Vigilance Officers:

The Commission makes following recommendation re: selection, duties & functions of Departmental Vigilance officers

(I) In each department there should be a part time Chief Vigilance Officer who should assist the Head of Department in all vigilance matter. As the Vigilance Officer constitutes an important link between government departments/organizations and the State Vigilance Commission, the Administrative Reforms Commission recommends that the following procedure should be laid down in the matter of appointment of Chief Vigilance Officer: (I) The Chief Vigilance Officer should be a fairly high ranking officer in the department not below the rank of Additional/Joint Head of Department and he should be appointed as Chief Vigilance Officer in consultation with the State Vigilance Commission.

(II) This should be a specified tenure post and Chief Vigilance Officer should not be transferred without consultation with the State Vigilance Commission.

(III) The Officer to be given the additional charge of the post of Chief Vigilance Officer should be one who is not involved in sensitive matters like recruitments, purchase, award of contract etc.

Role and function of the Chief Vigilance Officer:

The role and functions of the Chief Vigilance Officer should be divided into two parts i.e. Preventive and Punitive.

Preventive Side: The Chief Vigilance Officer should examine in details the existing rules and procedures of the department/organization with a view to eliminate or minimize the scope for corruption or malpractices.

He/ She will identify the sensitive/ corruption-prone spots in the department/organization and keep an eye on persons posted in such areas.

He/She will plan and enforce surprise as well as regular inspection to detect the system failure and existence of corruption or malpractices, particularly at the cutting edge level.

He/ She will maintain proper surveillance of officers/employees of doubtful integrity and also ensure compliance of conduct rules relating to integrity of officers/employees like timely submission of annual property return, detection of benami transactions, employment of interested persons working in the private firms doing business with a particular department/organization etc.

Punitive Side: The Chief Vigilance Officer will ensure speedy processing of vigilance cases at all stages. For proper conduct of departmental proceeding he/she will ensure that charge sheet of and other necessary documents are carefully prepared and materials required to be forwarded to the Inquiring Officer are carefully sorted out and sent promptly and also ensure appointment of Inquiring Officer as well as Presenting Officer for expeditious disposal of departmental proceeding within the time frame prescribed under the Rules. When an officer/employee is suspended pending departmental enquiry, the suspending authority must satisfy itself that there are specific materials to establish prima-facie case against the delinquent person and the departmental proceedings drawn up must be completed within 180 days of the date of suspension of the person. If for reasons beyond control, the proceedings could not be completed within the specified time, the matter must be brought to the State Vigilance Commission with reasons recorded for the delay. State Vigilance Commissioner should examine the case and if he/she is not satisfied with the reason/reasons adduced, he/she would ask the concerned department to reinstate the person and to initiate penal action against the person/persons for whose negligence the matter could not be disposed of within the stipulated period.

If any vigilance case is given to an investigating agency like Anti-corruption, the Chief Vigilance Officer will render cooperation and proper assistance to such agency for expeditious completion of the investigation/enquiry.

The Chief Vigilance Officer will submit quarterly report in a prescribed format to the State Vigilance Commission with copy to the concerned Head of the Department/Organization and Administrative Department of State Government.

Directorate of Financial Inspection

On examination, the Commission found that Directorate of Financial Inspections have also been set up by the State Government with a view to ensuring strict financial discipline in the various departments as well as for effecting implementation of ŏThe Assam Financial Inspection of Departmental Sanction and Implementation of Scheme Rules, 1982ŏ. As per the aforesaid Rules, the Director should submit his inspection reports monthly after having complete test check the schemes as referred to Rule 4(a) and Finance Department shall proceed with the reports and review the action taken on them quarterly. State Vigilance Commission should have authority to ensure that provisions of the Rules are complied with properly.

Moreover, the State Vigilance Commission should have authority to utilize the services of this Directorate whenever the Commission feels necessary. For this purpose, the Directorate should be activated by providing all necessary infrastructure so that task assigned by the State Vigilance Commission could be undertaken vigorously within stipulated time frame.

Lokayukta

In a democratic set up Lokayukta is a very important institution for safeguarding the ethical values of public administration particularly pertaining to public figures who are democratically elected to hold high offices. But the way this important Institution has been functioning in Assam since its inception, there is nothing to cheer, and there is hardly any justification to retain this set up at public cost.

But the Commission feels that for the interest of democracy, this institution should continue as a vibrant organization performing its statutory functions as enumerated in the *Assam Lokayukta and Upa-Lukayukta Act 1985*, with immediate structural and functional reforms to ensure government¢s accountability to the people, and to be an effective mechanism for the redressal of public grievances.

At present both the posts of Lokaykta and Upa-Lokayukta are vacant and as a result, the Lokayukta office is not functioning. Government should immediately initiate steps to appoint a Lokayukta as per provisions of the ÷Assam Lokayukta and Upa-Lukayukta Act 1985'. If a Chief Justice of a High Court or a Supreme Court Judge sitting or retired willing to take up the assignment is not available a Upa-Lokayukta should be appointed who can resume the duties of Lokayukta as per provisions of the aforesaid Act.

Chapter X

The areas from which Government could withdraw from direct involvement so as to focus on the core sectors of governance and what should be Government Policy for such withdrawal.

The areas from which Government could withdraw from direct involvement so as to focus on the core sectors of governance and to suggest as to what should be Government Policy for such withdrawal.

Recommendations

The main reason for the macro-economic crisis in our country is the growth of public spending, as a result of which fiscal deficit as a proportion to GDP rose considerably. Unless these yawning gap between revenue receipt and revenue expenditure is contained, and reduction in capital expenditure is allowed to continue, there would be irreparable adverse impact on the economy. What is really needed is cut in revenue expenditure, for which a reduction in the role and scope of Government is essential. This, all India macro-economic scenario is applicable to our State also. In fact, in view of limited scope of mobilisation of additional resources, the impact is more severe in Assam. Moreover, recent decades have seen a shift towards a reduced role for the Government in all the countries. It has been accepted all over the world that the Government should confine itself primarily to the core functions that cannot be performed by non government initiatives. Experts in Public Administrations have suggested in this context that before undertaking any work by the Government the following pertinent questions are to be asked:

1. Does the job need to be done at all ?

2. If the activity needs to be carried out, does the government have to be responsible for it ?

3. Where the government needs to remain responsible for the activity, does the government have to carry out the activity by its own department or it could be outsourced ?

   Time has come to redefine the role of the Government in the context of the scenario described above. But on the other hand, we cannot afford to ignore the cardinal principle of economic growth that investments in primary education, health care & nutrition as well as rural infrastructure tend to enhance the productive capacity of the whole economy, boosting the incomes of all groups particularly the **Poorer Section**.

The role and relevance of Government pale into insignificance in the context of tremendous financial crisis, which Government has been undergoing. Government needs resources to carry out its functions, and when the Government is unable to generate the required quantum of

resources, it will be forced to reduce its presence even in needed areas and go for a kind of privatization.

In fact in present context, the question is less about the role of government, but more about the mode of its functioning. Even here, whether Government should directly provide all services and if so at what cost and if not which are the services Government has to provide directly and which are the services it has to facilitate; these questions need to be viewed from the point of view of both public interest & efficiency.

It is to be admitted that Government is circumscribed by practical limitations rather than conditioned by social ideas. Probably in such a situation, it would be advisable for the State to get a human face, reaches out to the people, enables the community to participate in development process, provide for more and more social control in use of resources as well as legitimacy of Government, even while it does not expand in size or directly perform all activities. The ultimate success of Government in administering responsive governance depends on its capacity to provide rapid equitable development and greater participation to all its citizens in as many as walks of life as possible.

Against this background, Commission is of the opinion that the broad parameters for Government's role should be:

1. The Government should tone up its regulatory role óboth economic and social with special focus on taxation, financial displines, law and order and maintenance of standard and quality.
2. Government has to protect the natural resources and ensure only sustainable developments in different fields.
3. Government has to directly provide the basic human needs and services to the people who are poor and in the event of shortage of funds the poorest of poor section should come first.
4. Government has to create jobs rather than provide jobs, and for this, quality human resource development accompanied by a policy, facilitating economic growth would be required and careful planning can ensure pro-poor growth.
5. Government should be responsible for creation of physical infrastructure.
6. Government should protect the vulnerable and disadvantage section of the society in times of need.

Another important responsibility of the State Government is to provide safety net to citizens particularly to disadvantaged sections as well as to place **Regulatory System** with clear-cut guidelines regarding-

(i) Standard for delivery of goods & services by both public & private sector,

(ii) Accountability, transparency of service provider,

(iii) Regular monitoring and evaluation system to ensure desired goals.

Regulation need not be always from Government side, it can be some form of self regulation through professional bodies with proper code of conduct and ethics as well as orientation to uphold social needs and need not be turf protection activities.

In the short run till such time, as the resources of the government are limited, severe rationing of the Government services is essential with only the poor getting the services free or below cost. What is required is cross subsidies and not subsidies.

The focus of attention should be more on how a Government functions rather than on what it does. With efficient and effective functioning Government can reflect popular aspirations and expand their role gradually in future.

Commission after a series of discussion with Government Officials and other stakeholders makes following recommendations:

1. Core Sector

- Government should focus on the core sectors of Governance which should include Law and Order and maintenance of Justice, Public Finance Management and Infrastructure development.

2. Health Sector

(i) Primary Care Level:

- Government should concentrate on providing free or affordable heath care to the indigent and needy segment of the population with focus on primary and preventive health care programmes and eradication of widespread communicable diseases.

- The Government should utilise private sector as well as NGOs for improving reach of heath delivery system.

(ii) Secondary & Tertiary Care Level:

- There can be a mix of public and private initiatives in health care in secondary and tertiary segments.

- The Civil Hospitals at District and Sub-Divisional level could be partially corporatised and operated with greater autonomy. Public-Private Partnership in secondary care level could be thought of for up gradation of technology in the existing civil hospitals in partnership with private sector through a time bound agenda.

- In the Tertiary care sector steps be taken for tie up with private parties to upgrade technology at their expenses with the agreed revenue sharing model with the provision for poorer section in an economically sustainable system.

(iii) Medical Education:

- Eminent practitioners fulfilling IMC norms may be requested to enrich teaching faculty of medical colleges to take part in teaching as honorary teachers as in case of Maharastra Government.

- There should be Public-Private Partnership for establishment of medical institutions like Medical College, Dental College, Nursing College, Degree/Diploma Institutions for para medical disciplines, and also super speciality hospitals for specified disease like Cancer, Mental Health etc.

For ensuring access to quality health care services in areas or for groups that the State Government cannot adequately cover, as well as for improved health care infrastructure and facility for the benefit of the people of the State, particularly in rural areas, **the Commission recommends** that Public-Private Partnership in the health care sector should be tried to supplement State Government's efforts to improve the health status of all the people of Assam specially the poorer and those in greatest need. This would involve collaboration with not only private sector but also with NGOs / CBOs and other interested persons of civil society with proper tract record.

The Commission further recommends that the Policy for Public Private Partnerships in Health Sector accepted by West Bengal Government may perhaps be considered as the model with required modifications (West Bengal Policy at Annexure I). National Health Policy 2002 also states that õin principle National Health Policy 2002 welcomes the participation of private sector in all areas of health activities ó primary, secondary or tertiary.ö

3. Education Sector:

(i) Primary & Secondary Education

- As per amended provisions of the Constitution of India, the management and administration of education up to middle level could be entrusted to PRIs / Urban Local Bodies for better peoples participation and better lower level supervision as well as accountability.

(ii) Higher Education

- Higher-level educational institutions could be granted functional autonomy. They could be allowed to raise funds through fees, grants etc so that they become self ósustaining to the extent possible. To ensure access for poor to these educational institutes Government can however provide scholarships entirely based on economic criteria cum merit. Further these institutes could be allowed to accept donation / contribution from private charitable sources.

(iii) Adult Education:

- Adult education could be entrusted to reliable NGOs.

(iv) Technical Education:

- ITIs and such other institution providing vocational training could be handed over to Industrial houses /Industrial associations for management as to link them with private employment / self employment ultimately.

4. Sectors from which Government could withdraw:

As regards other sectors the services where from Government could withdraw and which could be transferred to Co-operatives, PRIs, ULBs, NGOs / CBOs, Autonomous Bodies and private agencies are indicated below. **Self Help Groups can also play a very significant role in this context.**

(a) Co-operatives :

Properly organized Cooperative societies should be promoted to handle activities like ó

⇒ Agriculture farming and marketing of agricultural produce in Agriculture sector.

⇒ Animal, poultry farming, marketing of Veterinary and Poultry produce Dairy farming, Town milk supply scheme and Marketing of milk produce in Veterinary and AH Sector.

⇒ Fish farming and Marketing of fish produces in Fishery sector.

⇒ **Sericulture farming and marketing of sericulture produces in Sericulture Sector.**

⇒ Marketing Handloom, handicraft, and textile products in H&T Sector.

(b) PRI & Urban Local Bodies:

In order to ensure better construction and maintenance of assets it is suggested that

⇒ Minor Irrigation schemes under Irrigation Department could be handed over to PRIs, who should manage the schemes realizing usersøcharges on sustainable basis,

⇒ All water supply Schemes under Government sector could be handed over to PRIs and Civic body, who should realize water charges from the users.

⇒ Other than State Highways and National Highways as well as arterial roads other roads could be given to PRI in rural areas and to civic bodies in urban areas, for construction and maintenance.

(c) Autonomous Bodies with professionals:

In order to promote professional sectors, it is suggested that

⇒ All cultural activities under Cultural Department could be administered through Autonomous bodies managed by professionals.

⇒ Schemes under Sports and Youth Welfare Department could be implemented through Autonomous Sports and Youth Welfare Bodies managed by professionals.

(d) Outsourcing to Private Sector:

Following sectors could be outsourced to private sectors to take advantage of their resources, expertise in their respective field of specialization.

$\Rightarrow$ Survey works under Economics & Statistics Department could be outsourced.

$\Rightarrow$ Public transport system could be privatized ensuring functioning of public transport in interior areas and uneconomic routes.

$\Rightarrow$ Schemes under Tourism Department should be implemented through private entrepreneurs.

$\Rightarrow$ Media publicity of the Government, and social marketing of Government programmees could be entrusted to private media agencies.

$\Rightarrow$ Manufacturing /production units and marketing organizations should be handed over to private sector.

(e) NGOs:

The NGOs could be utilized to provide training /capacity building in the following fields:

$\Rightarrow$ All Social sector training could be entrusted to NGOs

$\Rightarrow$ Implementation of Social forestry schemes and creation of environment awareness could be handed over to NGOs.

$\Rightarrow$ Social Welfare schemes other than statutory and mandatory ones under Social Welfare Department could be entrusted to NGOs

Government of India

National Rural Health Mission

The **National Rural Health Mission**, approved by the Government of India in January 2005, has been designed to realize the commitment enshrined in the National Common Minimum Programme for improved public health services. It is also the blue-print for a comprehensive re-structuring of the current strategies.

Goals:

- Provision of an Accredited Social Health Activists (ASHA) selected by the community in each village
- Preparation of inter-sectoral village health plans that include determinants of health like water, sanitation, nutrition etc, to be aggregated into a District Health Plan
- Creation of Village Health Committee headed by local Panchayat representative
- Untied pool for every Sub-centre for local level action for health
- Strengthening of Community Health Centres as full-fledged referral units for assured quality hospital care
- Integration of existing vertical schemes: District Health Mission Plan supported by District Health Fund

Supplementary Goals:

- Facilitate multiple health insurance initiatives
- Promotion of private sector participation for public health goals
- Development of Indian Public Health Standard (IPHS) and its enforcement across the sector
- Other supportive policy reforms

Capacity Building
in Health & Family Welfare Sector

- Most development concerned with ‑capacity buildingø (often merely a synonym with ‑trainingø)

- The capacity of an organization to be efficient and effective can be built in several ways :

  ➢ By supplying tools (eg. equipment for a hospital)
  ➢ By providing training (eg. in use of hospital equipment)
  ➢ By expanding staff and infrastructure (eg. more medical specialists and hospital extension)
  ➢ By reorganizing structure, re-defining roles and modernizing systems (eg. introducing hospita;l management board and upgrading information systems)

In the course of the programme, the concept of the ‑capacity pyramidø has been developed; in essence, a four level hierarchy of some of the main capacity building needs: (1) tools; (2) skills; (3) staff and infrastructure; (4) systems, roles and structures. The pyramid assists in judging which inputs (and combination of inputs), in what order over time, will be most effective in terms of building capacity at national, state, district and sub-divisional levels.

Capacity Pyramid

enable effective use of í

requir

Tools

enable effective use of í

require

Skills

enable effective use of í

require

Staff and Infrastructure

enable effective use of í

require í

Structures, Systems and Roles
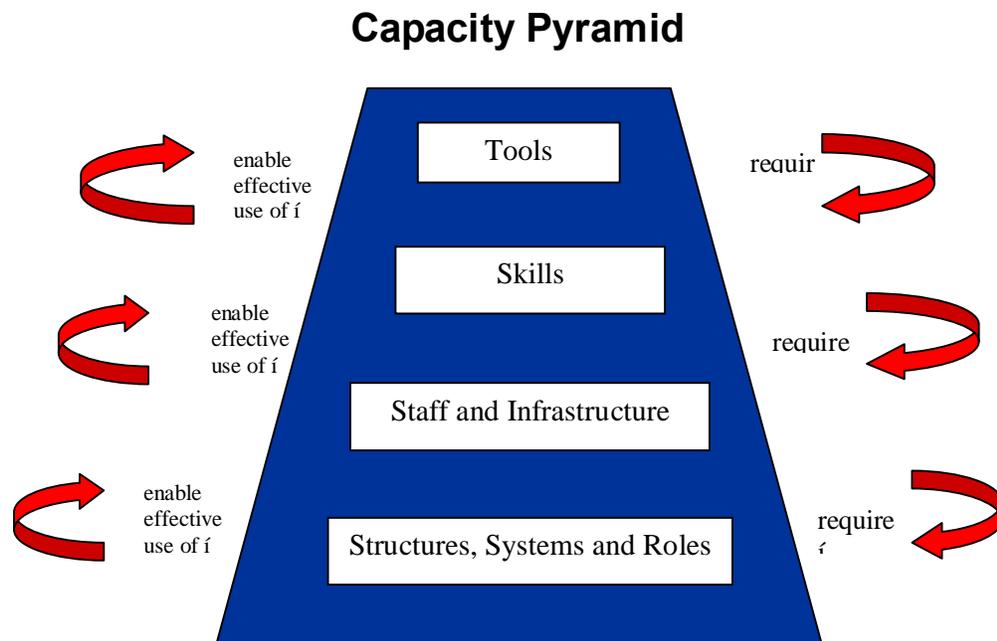
(Extracts from Health & Family Welfare Sector Investment Programme of Government of India in Partnership with European Union)

National Rural Health Mission
(2005-2012)

Mission Document

Preamble

Recognizing the importance of Health in the process of economic and social development and improving the quality of life of our citizens, the Government of India has resolved to launch the National Rural Health Mission to carry out necessary architectural correction in the basic health care delivery system. The Mission adopts a synergistic approach by relating health to determinants of good health viz. segments of nutrition, sanitation, hygiene and safe drinking water. It also aims at mainstreaming the Indian systems of medicine to facilitate health care. The Plan of Action includes increasing public expenditure on health, reducing regional imbalance in health infrastructure, pooling resources, integration of organizational structures, optimization of health manpower, decentralization and district management of health programmes, community participation and ownership of assets, induction of management and financial personnel into district health system, and operationalizing community health centers into functional hospitals meeting Indian Public Health Standards in each Block of the Country.

The Goal of the Mission is to improve the availability of and access to quality health care by people, especially for those residing in rural areas, the poor, women and children.

1. **State of Public Health**

•   Public health expenditure in India has declined from 1.3% of GDP in 1990 to 0.9% of GDP in 1999. The Union Budgetary allocation for health is 1.3% while the State's Budgetary allocation is 5.5%.

•   Union Government contribution to public health expenditure is 15% while States contribution about 85%

•   Vertical Health and Family Welfare Programmes have limited synergisation at operational levels.

•   Lack of community ownership of public health programmes impacts levels of efficiency, accountability and effectiveness.

- Lack of integration of sanitation, hygiene, nutrition and drinking water issues.

- There are striking regional inequalities.

- Population Stabilization is still a challenge, especially in States with weak demographic indicators.

- Curative services favour the non-poor: for every Re.1 spent on the poorest 20% population, Rs.3 is spent on the richest quintile.

- Only 10% Indians have some form of health insurance, mostly inadequate

- Hospitalized Indians spend on an average 58% of their total annual expenditure

- Over 40% of hospitalized Indians borrow heavily or sell assets to cover Expenses

- Over 25% of hospitalized Indians fall below poverty line because of hospital expenses

2. National Rural Health Mission –the Vision

- The National Rural Health Mission (2005-12) seeks to provide effective healthcare to rural population throughout the country with special focus on 18 states, which have weak public health indicators and/or weak infrastructure.

- These 18 States are Arunachal Pradesh, Assam, Bihar, Chhattisgarh, Himachal Pradesh, Jharkhand, Jammu & Kashmir, Manipur, Mizoram, Meghalaya, Madhya Pradesh, Nagaland, Orissa, Rajasthan, Sikkim, Tripura, Uttaranchal and Uttar Pradesh.

- The Mission is an articulation of the commitment of the Government to raise public spending on Health from 0.9% of GDP to 2-3% of GDP.

- It aims to undertake architectural correction of the health system to enable it to effectively handle increased allocations as promised under the National Common Minimum Programme and promote policies that strengthen public health management and service delivery in the country.

- It has as its key components provision of a female health activist in each village; a village health plan prepared through a local team headed by the Health & Sanitation Committee of the Panchayat; strengthening of the rural hospital for effective curative care and made measurable and accountable to the community through Indian Public Health Standards (IPHS); and integration of vertical Health & Family Welfare Programmes and Funds for optimal utilization of funds and infrastructure and strengthening delivery of primary healthcare.

- It seeks to revitalize local health traditions and mainstream AYUSH into the public health system.

- It aims at effective integration of health concerns with determinants of health like sanitation & hygiene, nutrition, and safe drinking water through a District Plan for Health.

- It seeks decentralization of programmes for district management of health.

- It seeks to address the inter-State and inter-district disparities, especially among the 18 high focus States, including unmet needs for public health infrastructure.

- It shall define time-bound goals and report publicly on their progress.

- It seeks to improve access of rural people, especially poor women and children, to equitable, affordable, accountable and effective primary healthcare.

3. Goals

- Reduction in Infant Mortality Rate (IMR) and Maternal Mortality Ratio (MMR)

- Universal access to public health services such as Women's health, child health, water, sanitation & hygiene, immunization, and Nutrition.

- Prevention and control of communicable and non-communicable diseases, including locally endemic diseases

- Access to integrated comprehensive primary healthcare

- Population stabilization, gender and demographic balance.

- Revitalize local health traditions and mainstream AYUSH

- Promotion of healthy life styles

4. Strategies

(a) Core Strategies:

- Train and enhance capacity of Panchayati Raj Institutions (PRIs) to own, control and manage public health services.

- Promote access to improved healthcare at household level through the female health activist (ASHA).

- Health Plan for each village through Village Health Committee of the Panchayat.

- Strengthening sub-centre through an untied fund to enable local planning and action and more Multi Purpose Workers (MPWs).

- Strengthening existing PHCs and CHCs, and provision of 30-50 bedded CHC per lakh population for improved curative care to a normative standard (Indian Public Health Standards defining personnel, equipment and management standards).

- Preparation and Implementation of an inter-sectoral District Health Plan prepared by the District Health Mission, including drinking water, sanitation & hygiene and nutrition.

- Integrating vertical Health and Family Welfare programmes at National, State, Block, and District levels.
- Technical Support to National, State and District Health Missions, for Public Health Management.

- Strengthening capacities for data collection, assessment and review for evidence based planning, monitoring and supervision.

- Formulation of transparent policies for deployment and career development of Human Resources for health.

- Developing capacities for preventive health care at all levels for promoting healthy life styles, reduction in consumption of tobacco and alcohol etc.

- Promoting non-profit sector particularly in under served areas.

(b) Supplementary Strategies:

- Regulation of Private Sector including the informal rural practitioners to ensure availability of quality service to citizens at reasonable cost.

- Promotion of Public Private Partnerships for achieving public health goals.

- Mainstreaming AYUSH ó revitalizing local health traditions.

- Reorienting medical education to support rural health issues including regulation of Medical care and Medical Ethics.

- Effective and viable risk pooling and social health insurance to provide health security to the poor by ensuring accessible, affordable, accountable and good quality hospital care.

5. Plan of Action

Component (A): Accredited Social Health Activists

- Every village/large habitat will have a female Accredited Social Health Activist (ASHA) - chosen by and accountable to the panchayat- to act as the interface between the community and the public health system. States to choose State specific models.

- ASHA would act as a bridge between the ANM and the village and be accountable to the Panchayat.

- She will be an honorary volunteer, receiving performance-based ,compensation for promoting universal immunization, referral and escort services for RCH, construction of household toilets, and other healthcare delivery programmes.

- She will be trained on a pedagogy of public health developed and mentored through a Standing Mentoring Group at National level

incorporating best practices and implemented through active involvement of community health resource organizations.

- She will facilitate preparation and implementation of the Village Health Plan along with Anganwadi worker, ANM, functionaries of other Departments, and Self Help Group members, under the leadership of the Village Health Committee of the Panchayat.

- She will be promoted all over the country, with special emphasis on the 18 high focus States. The Government of India will bear the cost of training, incentives and medical kits. The remaining components will be funded under Financial Envelope given to the States under the programme.

- She will be given a Drug Kit containing generic AYUSH and allopathic formulations for common ailments. The drug kit would be replenished from time to time.

- Induction training of ASHA to be of 23 days in all, spread over 12 months. On the job training would continue throughout the year.

- Prototype training material to be developed at National level subject to State level modifications.

- Cascade model of training proposed through Training of Trainers including contract plus distance learning model

- Training would require partnership with NGOs/ICDS Training Centres and State Health Institutes.

Component (B): Strengthening Sub-Centres

- Each sub-centre will have an Untied Fund for local action @ Rs. 10,000 per annum. This Fund will be deposited in a joint Bank Account of the ANM & Sarpanch and operated by the ANM, in consultation with the Village Health Committee.

- Supply of essential drugs, both allopathic and AYUSH, to the Sub centres.

- In case of additional Outlays, Multipurpose Workers (Male)/Additional ANMs wherever needed, sanction of new Sub-centres as per 2001 population norm, and upgrading existing Sub-centres, including buildings for Sub-centres functioning in rented premises will be considered. COMPONENT

Component (C): Strengthening Primary Health Centres

- Mission aims at Strengthening PHC for quality preventive, promotive, curative, supervisory and Outreach services, through:

- Adequate and regular supply of essential quality drugs and equipment (including Supply of Auto Disabled Syringes for immunization) to PHCs

- Provision of 24 hour service in 50% PHCs by addressing shortage of doctors, especially in high focus States, through mainstreaming AYUSH manpower.

- Observance of Standard treatment guidelines & protocols.

- In case of additional Outlays, intensification of ongoing communicable disease control programmes, new programmes for control of noncommunicable diseases, upgradation of 100% PHCs for 24 hours referral service, and provision of 2nd doctor at PHC level (I male, 1 female) would be undertaken on the basis of felt need.

Component (D): Strengthening CHCs for First Referral Care

A key strategy of the Mission is:

- Operationalizing 3222 existing Community Health Centres (30-50 beds) as 24 Hour First Referral Units, including posting of anaesthetists.

- Codification of new Indian Public Health Standards, setting norms for infrastructure, staff, equipment, management etc. for CHCs.

- Promotion of Stakeholder Committees (Rogi Kalyan Samitis) for hospital management.

- Developing standards of services and costs in hospital care.

- Develop, display and ensure compliance to Citizen's Charter at CHC/PHC level.

- In case of additional Outlays, creation of new Community Health Centres (30-50 beds) to meet the population norm as per Census 2001, and bearing their recurring costs for the Mission period could be considered.

Component (E): District Health Plan

- District Health Plan would be an amalgamation of field responses through Village Health Plans, State and National priorities for Health, Water Supply, Sanitation and Nutrition.

- Health Plans would form the core unit of action proposed in areas like water supply, sanitation, hygiene and nutrition. Implementing Departments would integrate into District Health Mission for monitoring.

- District becomes core unit of planning, budgeting and implementation.

- Centrally Sponsored Schemes could be rationalized/modified accordingly in consultation with States.

- Concept of õfunnelingö funds to district for effective integration of programmes

- All vertical Health and Family Welfare Programmes at District and state level merge into one common õDistrict Health Missionö at the District level and the õState Health Missionö at the state level
- Provision of Project Management Unit for all districts, through contractual engagement of MBA, Inter Charter/Inter Cost and Data Entry Operator, for improved programme management

Component (F): Converging Sanitation and Hygiene Under NRHM

- Total Sanitation Campaign (TSC) is presently implemented in 350 districts, and is proposed to cover all districts in 10th Plan.

- Components of TSC include IEC activities, rural sanitary marts, individual household toilets, women sanitary complex, and School Sanitation Programme.

Similar to the DHM, the TSC is also implemented through Panchayati Raj Institutions (PRIs).

The District Health Mission would therefore guide activities of sanitation at district level, and promote joint IEC for public health, sanitation and hygiene, through Village Health & Sanitation Committee, and promote household toilets and School Sanitation Programme. ASHA would be incentivized for promoting household toilets by the Mission.

Component (G): Strengthening Disease Control Programmes

- National Disease Control Programmes for Malari a, TB, Kala Azar, Filaria, Blindness & Iodine Deficiency and Integrated Disease Surveillance Programme shall be integrated under the Mission, for improved programme delivery.

- New Initiatives would be launched for control of Non Communicable Diseases.

- Disease surveillance system at village level would be strengthened.

- Supply of generic drugs (both AYUSH & Allopathic) for common ailments at village, SC, PHC/CHC level.
- Provision of a mobile medical unit at District level for improved Outreach services.

Component (H): Public-Private Partnership for Public
Health Goals, including Regulation of Private Sector

- Since almost 75% of health services are being currently provided by the private sector, there is a need to refine regulation

- Regulation to be transparent and accountable

- Reform of regulatory bodies/creation where necessary

- District Institutional Mechanism for Mission must have representation of private sector

- Need to develop guidelines for Public-Private Partnership (PPP) in health sector. Identifying areas of partnership, which are need based, thematic and geographic.

- Public sector to play the lead role in defining the framework and sustaining the partnership

- Management plan for PPP initiatives: at District/State and National levels

Component (I): New Health Financing Mechanisms

- A Task Group to examine new health financing mechanisms, including Risk Pooling for Hospital Care as follows:

- Progressively the District Health Missions to move towards paying hospitals for services by way of reimbursement, on the principle of õmoney follows the patient.ö

- Standardization of services ó outpatient, in-patient, laboratory, surgical interventions- and costs will be done periodically by a committee of experts in each state.

- A National Expert Group to monitor these standards and give suitable advice and guidance on protocols and cost comparisons.

- All existing CHCs to have wage component paid on monthly basis. Other recurrent costs may be reimbursed for services rendered from District Health Fund. Over the Mission period, the CHC may move towards all costs, including wages reimbursed for services rendered.

- A district health accounting system, and an ombudsman to be created to monitor the District Health Fund Management , and take corrective action.

- Adequate technical managerial and accounting support to be provided to DHM in managing risk-pooling and health security.

- Where credible Community Based Health Insurance Schemes (CBHI) exist/are launched, they will be encouraged as part of the Mission.

- The Central government will provide subsidies to cover a part of the premiums for the poor, and monitor the schemes.

- The IRDA will be approached to promote such CBHIs, which will be periodically evaluated for effective delivery.

Component (J): Reorienting Health/Medical Education to Support Rural Health Issues

- While district and tertiary hospitals are necessarily located in urban centres, they form an integral part of the referral care chain serving the needs of the rural people.

- Medical and para-medical education facilities need to be created in states, based on need assessment.

- Suggestion for Commission for Excellence in Health Care (Medical Grants Commission), National Institution for Public Health Management etc.

- task group to improve guidelines/details.

6. Institutional Mechanisms

- Village Health & Sanitation Samiti (at village level consisting of Panchayat Representative/s, ANM/MPW, Anganwadi worker, teacher, ASHA, community health volunteers

- Rogi Kalyan Samiti (or equivalent) for community management of public hospitals

- District Health Mission, under the leadership of Zila Parishad with District Health Head as Convener and all relevant departments, NGOs, private professionals etc represented on it

- State Health Mission, Chaired by Chief Minister and co-chaired by Health Minister and with the State Health Secretary as Convener-representation of related departments, NGOs, private professionals etc

- Integration of Departments of Health and Family Welfare, at National and State level

- National Mission Steering Group chaired by Union Minister for Health & Family Welfare with Deputy Chairman Planning Commission, Ministers of Panchayat Raj, Rural Development and Human Resource Development and public health professionals as members, to provide policy support and guidance to the Mission

- Empowered Programme Committee chaired by Secretary HFW, to be the Executive Body of the Mission

- Standing Mentoring Group shall guide and oversee the implementation of ASHA initiative

- Task Groups for Selected Tasks (time-bound)

7. Technical Support

- To be effective the Mission needs a strong component of Technical Support

- This would include reorientation into public health management

- Reposition existing health resource institutions, like Population Research Centre (PRC), Regional Resource Centre (RRC), State Institute of Health & Family Welfare (SIHFW)

- Involve NGOs as resource organisations

- Improved Health Information System

- Support required at all levels: National, State, District and sub-district.

- Mission would require two distinct support mechanisms ó Program Management Support Centre and Health Trust of India.

(A) Program Management Support Centre

- For Strengthening Management Systems-basic program management, financial systems, infrastructure maintenance, procurement & logistics systems, Monitoring & Information System (MIS), non-lapsable health pool etc.

- For Developing Manpower Systems ó recruitment (induction of MBAs/CAs /MCAs), training & curriculum development (revitalization of existing institutions & partnerships with NGO & private sector. Sector institutions), motivation & performance appraisal etc.

- For Improved Governance ó decentralization & empowerment of communities, induction of IT based systems like e-banking, social audit and right to information.

(B) Health Trust of India

- Proposed as a knowledge institution, to be the repository of innovation óresearch & documentation, health information system, planning, monitoring & evaluation etc.

- For establishing Public Accountability Systems ó external evaluations, community based feedback mechanisms, participation of PRIs /NGOs etc.

- For developing a Framework for pro-poor Innovations
- For reviewing Health Legislations.

- A base for encouraging experimentation and action research.

- For inter & intra Sector Networking with National and International Organizations.

- Think Tank for developing a long-term vision of the Sector & for building planning capacities of PRIs, Districts etc.

8. Role of State Governments Under NRHM

- The Mission covers the entire country. The 18 high focus States are Uttar Pradesh, Bihar, Rajasthan, Madhya Pradesh, Orissa, Uttaranchal, Jharkhand, Chhattisgarh, Assam, Sikkim, Arunachal Pradesh, Manipur, Meghalaya, Tripura, Nagaland, Mizoram Himachal Pradesh and Jammu & Kashmir. GoI would provide funding for key components in these 18 high focus States. Other States would fund interventions like ASHA, Programme Management Unit (PMU), and upgradation of SC/PHC/CHC through Integrated Financial Envelope.

- NRHM provides broad conceptual framework. States would project operational modalities in their State Action Plans, to be decided inconsultation with the Mission Steering Group.

- NRHM would prioritize funding for addressing inter-state and intradistrict disparities in terms of health infrastructure and indicators.

- States would sign Memorandum of Understanding with Government of India, indicating their commitment to increase contribution to Public Health Budget (preferably by 10% each year), increased

devolution to Panchayati Raj Institutions as per 73rd Constitution (Amendment) Act, and performance benchmarks for release of funds.

9. Focus on the North Eastern States

- All 8 North East States, including Assam, Arunachal Pradesh, Manipur, Meghalaya, Mizoram, Nagaland, Sikkim and Tripura, are among the States selected under the Mission, for special focus.

- Empowerment to the Mission would mean greater flexibilities for the 10% committed Outlay of the Ministry of Health & Family Welfare, for North East States.

- States shall be supported for creation/upgradation of health infrastructure, increased mobility, contractual engagement, and technical support under the Mission.

- Regional Resource Centre is being supported under NRHM for the North Eastern States.

- Funding would be available to address local health issues in a comprehensive manner, through State specific schemes and initiatives.

10. Role of Panchayati Raj Institutions

The Mission envisages the following roles for PRIs:

- States to indicate in their MoUs the commitment for devolution of funds, functionaries and programmes for health, to PRIs.

- The District Health Mission to be led by the Zila Parishad. The DHM will control, guide and manage all public health institutions in the district, Sub-centres, PHCs and CHCs.

- ASHAs would be selected by and be accountable to the Village Panchayat.

- The Village Health Committee of the Panchayat would prepare the Village Health Plan, and promote intersectoral integration

- Each sub-centre will have an Untied Fund for local action @ Rs. 10,000 per annum. This Fund will be deposited in a joint Bank

Account of the ANM & Sarpanch and operated by the ANM, in consultation with the Village Health Committee.

- PRI involvement in Rogi Kalyan Samitis for good hospital management.

- Provision of training to members of PRIs.
- Making available health related databases to all stakeholders, including Panchayats at all levels.

11. Role of Ngos in the Mission

- Included in institutional arrangement at National, State and District levels, including Standing Mentoring Group for ASHA

- Member of Task Groups

- Provision of Training, BCC and Technical Support for ASHAs/DHM

- Health Resource Organizations

- Service delivery for identified population groups on select themes

- For monitoring, evaluation and social audit

12. Mainstreaming Ayush

- The Mission seeks to revitalize local health traditions and mainstream AYUSH infrastructure, including manpower, and drugs, to strengthen the public health system at all levels.

- AYUSH medications shall be included in the Drug Kit provided at village levels to ASHA.

- The additional supply of generic drugs for common ailments at Subcentre/PHC/CHC levels under the Mission shall also include AYUSH formulations.

- At the CHC level, two rooms shall be provided for AYUSH practitioner and pharmacist under the Indian Public Health System (IPHS) model.

- Single doctor PHCs shall be upgraded to two doctor PHCs by mainstreaming AYUSH practitioner at that level.

13. Funding Arrangements

- The Mission is conceived as an umbrella programme subsuming the existing programmes of health and family welfare, including the RCHII, National Disease Control Programmes for Malaria, TB, Kala Azar, Filaria, Blindness & Iodine Deficiency and Integrated Disease Surveillance Programme.

- The Budget Head For NRHM shall be created in B.E. 2006-07 at National and State levels. Initially, the vertical health and family welfare programmes shall retain their Sub-Budget Head under the NRHM.

- The Outlay of the NRHM for 2005-06 is in the range of Rs.6700 crores.

- The Mission envisages an additionality of 30% over existing Annual Budgetary Outlays, every year, to fulfill the mandate of the National Common Minimum Programme to raise the Outlays for Public Health from 0.9% of GDP to 2-3% of GDP

- The Outlay for NRHM shall accordingly be determined in the Annual Budgetary exercise.

- The States are expected to raise their contributions to Public Health Budget by minimum 10% p.a. to support the Mission activities.

- Funds shall be released to States through SCOVA, largely in the form of Financial Envelopes, with weightage to 18 high focus States.

14. Timelines (for Major Components)

- Merger of Multiple Societies June 2005
- Constitution of District/State Mission
- Provision of additional generic drugs at SC/PHC/CHC level December 2005
- Operational Programme Management Units 2005-2006

- Preparation of Village Health Plans 2006
- ASHA at village level (with Drug Kit) 2005-2008

- Upgrading of Rural Hospitals 2005-2007
- Operationalizing District Planning 2005-2007
- Mobile Medical Unit at district level 2005-08

15. Outcomes

(a) National Level:

- Infant Mortality Rate reduced to 30/1000 live births

- Maternal Mortality Ratio reduced to 100/100,000

- Total Fertility Rate reduced to 2.1

- Malaria mortality reduction rate 650% upto 2010, additional 10% by 2012

- Kala Azar mortality reduction rate: 100% by 2010 and sustaining elimination until 2012

- Filaria/Microfilaria reduction rate: 70% by 2010, 80% by 2012 and elimination by 2015

- Dengue mortality reduction rate: 50% by 2010 and sustaining at that level until 2012

- Japanese Encephalitis mortality reduction rate: 50% by 2010 and sustaining at that level until 2012

- Cataract Operation: increasing to 46 lakhs per year until 2012.

- Leprosy prevalence rate: reduce from 1.8/10,000 in 2005 to less than 1/10,000 thereafter

- Tuberculosis DOTS services: Maintain 85% cure rate through entire Mission period.

- Upgrading Community Health Centers to Indian Public Health Standards

- Increase utilization of First Referral Units from less than 20% to 75%

- Engaging 250,000 female Accredited Social Health Activists (ASHAs) in 10 States.

(b) Community Level:

- Availability of trained community level worker at village level, with a drug kit for generic ailments

- Health Day at Anganwadi level on a fixed day/month for provision of immunization, ante/post natal checkups and services related to mother & child healthcare, including nutrition.

- Availability of generic drugs for common ailments at Sub-centre and hospital level

- Good hospital care through assured availability of doctors, drugs and quality services at PHC/CHC level

- Improved access to Universal Immunization through induction of Auto Disabled Syringes, alternate vaccine delivery and improved mobilization services under the programme

- Improved facilities for institutional delivery through provision of referral, transport, escort and improved hospital care subsidized under the Janani Suraksha Yojana (JSY) for the Below Poverty Line families

- Availability of assured healthcare at reduced financial risk through pilots of Community Health Insurance under the Mission

- Provision of household toilets

- Improved Outreach services through mobile medical unit at districtlevel

16. Monitoring and Evaluation

- Health MIS to be developed upto CHC level, and web-enabled for citizen scrutiny

- Sub-centres to report on performance to Panchayats, Hospitals to Rogi Kalyan Samitis and District Health Mission to Zila Parishad

- The District Health Mission to monitor compliance to Citizen's Charter at CHC level

- Annual District Reports on People's Health (to be prepared by Govt/NGO collaboration)

- State and National Reports on People's Health to be tabled in Assemblies, Parliament
- External evaluation/social audit through professional bodies/NGOs

- Mid Course reviews and appropriate correction

Strengthening of Public Institutions for Health Delivery

Introduction

The Rural Health Care System forms an integral part of the National Health Care System. Provision of Primary Health Care is the foundation of the rural health care system. For developing vast public health infrastructure and human resources of the country, accelerating the socio-economic development and attaining improved quality of life, the Primary health care is accepted as one of the main instrument of action. Primary health care is the essential health care made universally available and accessible to individuals and acceptable to them through their full participation and at a cost the community and the country can afford.

Review of existing Public health Infrastructure:

The primary Health Care structure in the country has been established as per the following norms:

Centre	Population Norms	
	Plain areas	**Hilly/Tribal areas**
Sub-centre	5000	3000
Primary Health Centre	30,000	20,000
Community Health Centre	1, 20,000	80,000

Sub-Centre

Sub Centre is the first peripheral contact point between community and health care delivery system. A Sub Centre is Manned by one Female Health Worker (ANM) and one Male Health Worker (MPW). One Lady Health Visitor (LHV) for six sub-centres is provided for supervision at the PHC level. Department of Family Welfare is providing 100% central assistance to all the sub-centres in the country since April 2002 in the form of :

- Salary of ANMs and LHVs
- Rent@ Rs.3000 per annum
- Contingency @ Rs.3200 per annum
- Drugs and equipment kits.

Currently there are 142655 sub-centres in the country.

Primary Health Centre (PHC)

PHC is the first contact point between village community and the Medical Officer. Manned by a Medical Officer and 14 other staff, it acts as a referral unit for 6 Sub-Centres and has 4-6 beds for patients. It performs curative, preventive, promotive and family welfare services. These are established and maintained by the State Governments. Cur rently there are 23109 Primary Health Centres in the country.

Community Health Centres (CHCs)

CHCs are established and maintained by the State Governments. Manned by **four specialists** i.e. Surgeon, Physician, Gynaecologist and pediatrician and supported by 21 paramedical and other staff, a CHC has **30 indoor beds** with one OT, X ray facility, a labour room and laboratory facility. It serves as a referral centre for 4 PHCs. Currently there are 3222 Community Health Centres in the country.

Situational Analysis and Recommendations:

Adequacy of Coverage:

All public health services depend on the presence of adequate basic infrastructure. The Primary Health care services in rural areas in the country are provided through a network of health facilities. Although vast network of this infrastructure looks impressive, accessibility, availability of manpower and quality of services, and their utilization have been major issues in the Public health care delivery system. Adequacy of coverage is an important issue. The number of facilities is not adequate when we consider the current population. New centers need to be established in order to cover the entire population of the country.

These requirements have been estimated based on the population as per the 2001 census ignoring the excess in some of the States.

	Requirement (Numbers)	Existing (Numbers)	Shortfall (Numbers)
Sub Centre	158792	142655	21983
PHC	26022	23109	4436
CHC*	6491	3222	3332

Physical Infrastructure:

I. Strengthening of the Physical Infrastructure of the existing facilities:

(a) Buildings:
- Only 50% of the sub-centres, 84 % PHCs and 86% CHCs are in Government buildings. The rest are either in rented buildings or in rent free Panchayat / Voluntary society buildings. It has been observed that the quality of work suffers if the facility in rural areas is located in the rented building as the space is inadequate.
- Adequate residential facility for the essential staff at these centres is also a problem.
- Electricity, water supply system and telephone facilities, referral transport, furniture etc. are also not optimal.

Nearly 60,000 Subcentres, 1700 PHCs and 320 CHCs currently functioning in rented buildings need buildings of their own. Applying the above yard sticks, the cost of construction of the buildings for these existing Sub-Centres, PHCs,and CHCs will be approximately Rs.3000 crores , 612 crores and 320 crores respectively (a total of Rs.3932 crores).

(b) Repair and Maintenance:

Repair and maintenance of the centres having their own buildings and ensuring 24 hours water supply and electricity will require a lumpsum amount of approximately Rs.2333 crores.

Financial Implications for strengthening the existing Rural Health Care Infrastructure				
	Existing (Numbers)	Per Unit Fund proposed for strengthening a centre (under RCH-II) (in Rs.)	Untied Fund proposedunder NRHM(in Rs.)(Recurring)	Total Financial Implication for strengthening (figures in Rs. Crores)
Sub Centre	142655	50000	10000	855.93
PHC	23109	500000		1155.45
CHC	3222	1000000		322.20
Grand Total				**2333.58**

c) **New Facilities**: New centres need to be established in order to cover the entire population of the country as has been discussed before.

Financial Implications for establishing new centres:

The financial implications of setting up of a new Sub-centre along with the ANMøs residence is approximately Rs.5 Lakhs (Floor area of 73.5 sq. meter @ 7000/sq.m). The recurring cost is about Rs.1.5 lakhs (Without the salary of the Male worker).The allocation for funds for Sub-Centres during 10th Plan is 9663 crores. Salary of Male Health Worker is borne by the State Government. Capital cost of one PHC is about Rs.36 lakhs and recurring cost of Rs.19 lakhs. Capital cost of one CHC is about Rs.1 Crore with a recurring cost of about 40 lakhs. (The estimated cost is only indicative.)

Capital Cost:

Health Facility	Financial Implications for new centres
Subcentre	Rs.1099.15 crore
Primary Health Centre	Rs.1596.96 crore
Community Health Centre	Rs.3332.00 crore

Recurring expenditure per annum

	Requirement (Numbers)	Existing (Numbers)	Shortfall (Numbers)	Per Unit Recurring Cost (in Rs.)	Total Recurring Cost per annum (in Rs. Crores)
Sub Centre	158792	142655	21983	150000	329.75
PHC	26022	23109	4436	1900000	842.84
CHC*	6491	3222	3332	4000000	1332.80
Grand Total					**2505.39**

Note:Recurring cost for a Sub Centre is without the salary of Health Worker Male

* The number of CHCs shown above has been calculated on the basis of existing population norm of 120000 for plain areas and 80000 for tribal and hilly areas. If a norm of one CHC per 100000 population is taken, the number of CHCs required will be 7417 and the shortfall is 4195.

(The funding for the construction of new PHCs and CHCs is the responsibility of the State Governments).

Thus a total capital cost of about Rs.12,000 crores will be required for establishing new Centres in order to improve the coverage as per 2001 census population and strengthening of the physical infrastructure of already existing Centres.

I.   Manpower

At the Sub-Centre and PHC level, the vacancy position of ANMs is approximately 5 %. Taking in to consideration the new and the existing Sub-Centres and PHCs, there is a need of 1, 65,764 ANMs. Presently 1,38,906 are in position.

Nearly 50% of the existing Sub-centres do not have a Male Health Worker. This is because the State Governments do not sanction the post of the Male Health Worker as the State bears the cost of the salary of the Male Health Worker. There has been a demand that like ANM and LHV, the salary of the Male health worker also should be paid by the Government of India. The National Advisory Council (NAC) has recommended for funding of the 50% of male health workers. However, the states demand funding of salary of all the male health workers (100%). If, so the additional cost to Government of India will be Rs. 2000 Crores annually.

Recommendations:

Subcentre:

- The Government of India may consider funding of all the male health workers.
- Under NRHM, the ANM will have the support of the 4 -5 ASHA and the AWWs. Hence, instead of a male worker, flexibility may be given to the states to either opt for male health worker or additional ANMs.
- Strengthening of management and supervisory assistance at the CHC/FRU level is recommended as this is needed for efficient functioning of National Health Programmes and ASHA .

Primary Health Centre:

Although the numbers of doctors sanctioned are more than requirement, currently about 700 PHCs are without a doctor because of mal-distribution, improper transfer policy of the State Government, political interference, lack of basic amenities and incentives for working in rural/difficult areas. At the PHC level-ensuring availability of services of doctors in the PHCs especially in difficult areas is a major problem.

The Ministry of Health and Family Welfare is having a plan to make all the PHCs a õ24 hour functioning PHCsö in a phased manner. In view of this there would be a need for 2 doctors at the PHCs (Guidelines for Operationalizing a 24 hours functioning PHC for service delivery is in final stage) The number of doctors required, therefore would be 52,044. Currently there are 21974 Doctors available at PHCs. With the existing number of Medical Colleges and the annual turnover of MBBS Doctors,

mainstreaming of AYUSH physicians, and with appropriate recruitment, posting and transfer policy, this requirement can be met.

(To improve availability of doctors at the PHC level, various options have been explored which have been discussed in a separate paper.)

Community Health Centre:

- At the CHC level non availability of specialists at these centres, lack of anesthetists, improper manpower and transfer policy, non-existence of a specialist cadre in many states, lack of basic amenities, quality control, lack of referral policy/ support, involvement of Private sectors and professional associations, contractual appointments etc are the major issues. Indoor facilities provided are not used to the desired level. There is a shortfall of 1074 O&G specialists, 1121 Surgeons, 1607 Pediatricians and 1457 Physicians even in the currently functioning CHCs. This requirement will increase if new centres are established as per the estimate. Service of anaesthetists is not available at present in CHCs, which seriously hamper the functioning of the surgical and OBG specialists. Provision of the services of Anesthetists is a daunting task. Various suggestions have been put forth for strengthening of CHCs which are discussed in a separate paper.

- To strengthen the management and supervision at the CHC level, it is recommended to have a Programme Manager with public health back ground, who can supervise and coordinate all Public Health activities including the National Health Programmes and ASHAs. A Public health Nurse (PHN), one Nurse-Midwife are also recommended for round the clock supportive services and supervision of ASHA.. Therefore, 6491 Programme Managers, 6491 PHN and 6491 Nurse will be required.

The major task is to make these centres fully functional and grade them as per set standards (Indian Public Health standards are being worked out and dealt with, in another paper).

III. Equipments, Drugs and other supplies:

A list of essential drugs, equipments and other supplies have been prepared. However, the states/ districts may be given the flexibility to have their own list of essential drugs. The list of the Ayurvedic drugs currently supplied through the Department of Family Welfare is given in another document. (Mainstreaming of AYUSH). The logistics aspect of these supplies needs consideration**.**

Recommendations:
- Currently the drugs and equipment kits are centrally procured and supplied. Decentralization of the procurement process and supplies should be given priority.
- Some of the States have established effective functional systems to take care of the logistic aspects such as Tamilnadu Medical supplies Corporation. These may be adopted by the states after appropriate modifications to suit their needs.
- Procurement process and supplies will be decided in consultation with the State Governments. The District Rural Health Mission should be given the choice of taking a decision on this.
- A flexi-fund of Rs.10 lakhs per annum for meeting the cost of drugs and other supplies during epidemics/ natural disasters may be provided at the district level.

IV. Training

NRHM envisages an accountable system for delivery of quality services.
For quality services, the skill of the health personnel needs to be improved. The attitudinal changes in the health personnel to be responsive to the health needs of the community will require orientation of health personnel. In this context, the induction training, in-service skill development training, and management training of the health personnel are being planned in RCH-Phase-II. The training load of various categories for personnel is as follows:

I.   Training of ASHA ó Minimum 2.5 Lakhs

Orientation and Skill Development Training for ANMs -158792
II.   Orientation and Skill Development Training for Male Health Workeró158792 (in case states opt for additional ANMs then the number will change)
III.   Orientation and Skill Development Training for LHVs / Female Health Supervisor ó 26022
IV.   Orientation and Skill Development Training for Health Assistant (Male) ó 26022
V. Orientation and Skill Development Training for Medical Officers at PHCs ó 52044 (for the proposed two doctor PHCs) to make them 24 hours functional.

Recommendations:
- Currently the admission capacity in the existing ANM training schools is about 13000 every year. Every year about 7000 ANMs

come out of the training schools (the training course being for a duration of 1 and half years). There are 336 ANM Training Schools with an admission capacity of approximately 13000 and 42 promotional Schools.

- To meet the requirement of about 22000 more ANMs for the proposed new Sub Centres, it may be considered to open new ANM Training Schools particularly in the underserved areas.

Other Recommendations:

- Public Health should receive greater attention. In order to achieve this, a separate Public Health Cadre is being recommended.
- Primary Health care, which is currently being funded predominantly by the State government (85%) should be funded fully by the Central Government after ensuring that the funds are utilized by the States for the purpose intended.
- Support facilities like transport, electricity, telephone, potable water, etc. will have to be ensured in all the centres if utilization is to be improved. Computerisation should be encouraged in CHCs.
- Intersectoral coordination at all levels is to be strengthened like water supply and sanitation, nutrition and other health determinants.

**Draft Policy for
Public Private Partnerships
in the Health Sector**

Contents

Abbreviations

AP	Andhra Pradesh
BOO	Build Own Operate
BOOT	Build Own Operate Transfer
BOT	Build Own Transfer
BPHC	Block Primary Health Center
CII	Confederation of Indian Industries
DoHFW	Department of Health and Family Welfare
GDP	Gross Domestic Product
GoWB	Government of West Bengal
MRI	Magnetic Resonance Imaging
NGO	Non Government Oreganisation
PHC	Primary Health Centre
PPP	Public Private Partnerships
SOP	Standard Operating Procedures
SPV	Special Purpose Vehicle
UP	Uttar Pradesh

**Draft Policy for Public Private Partnerships
in the Health Sector**

Government of West Bengal (GoWB) ins committed to the concept that health of the people is safest in the hands of community itself. With this policy commitment and in the background of severe resource constraints of public sector health systems and simultaneous growth of private sector coupled with very low coverage of health insurance and almost no-existent social health insurance systems, the Department of Health and Family Welfare (DoHFW), GoWB have been encouraging establishment of public private partnerships during last three years. This would involve collaboration with not only private sector but also with NGOs/ CBOs and other interested persons of civil society.

The National Health Policy 2002 also states that õIn principle, this Policy welcomes the participation of the private sector in all areas of health activities ó primary, secondary or tertiaryö.

This Public Private Partnership Policy document outlines various ways in which the diverse segments of the private sector can be engaged with the government for achievement of desired health outcomes.

A. Background

Trends of the last 10-11 yearsø demonstrate decline in government spending in the health sector in terms of percentage of the total budget allocations as well as a percentage of the GDP. The public health investment in the country over the years has been comparatively low and as a percentage of GDP has declined from 1.3 percent in 1990 to 0.9 percent in 1999 among the lowest in the world. In contrast India records a high private health spending, which is amongst the highest in the world. Between 75-90 percent of public health spending is made by Indiaøs states.

The bulk of public spending on primary health care is thinly spread and thus not fully effective. Referral linkages to secondary care are deficient. State governments do not have the necessary funds to invest in infrastructure development of secondary or tertiary level hospitals. Even if states have made investments in health infrastructure through externally aided projects, such improved facilities also tend to run down rapidly in the absence of adequately funded maintenance systems and problems relating to management systems.

Public awareness of and expectations from health services provided by the government are rising rapidly making the management of public health

systems and programmes more challenging that it was earlier. The private sector is expanding but issues like quality assurance and pricing mechanisms are yet to be adequately addressed.

There is now substantial evidence that despite massive investment by the state governments on health care the users of services are still spending huge amount either directly or indirectly to avail the services. A study on the basis of National Sample Survey (NSS ó 52nd Round) Data showed that estimated private per capita spending on health services at private and public facilities in West Bengal was Rs. 90/- in 1995-1996, which was slightly lower than that of the national average of Rs. 30/-. The same study also revealed that about 80% of out of pocket expenditure went to private facilities.

The private sector accounts for most ambulatory curative care services in India, and this is true in the case of West Bengal as well. Although the poor still largely depend on the public sector for the majority of their hospital care needs, the private sector provides a bulk of outpatient care for those below the poverty line, much of which is of low quality and provided by the untrained practitioners.

The National Health Policy 2002 states õsince 1983 the country has been seeing increase in mortality through ─life-styleø diseases ó diabetes, cancer and cardiovascular diseases. The increase in the expectancy has increased the requirement for geriatric care. Similarly, the increasing burden of trauma cases is also a significant public health problemö. There are little or no sources with the government to invest in facilities to take care of the increasing burden of these emerging diseases. It is estimated that in the next ten years the cost of caring diabetic patients alone would be crippling for health sector financing.

State governments would be hard pressed to maintain allocations/spending on healthcare while dealing with increasing pressure to enhance public investment in this sector. Most multi/bi-lateral donor organizations do not wish to invest in tertiary medical care services provided by the Government of India.

In the next 10 years it is envisaged that average spending on health care delivery will almost double ó from Rs. 86,000 crore in 2000-2001 to over Rs. 200,000 crore in real terms by 2012. Largest component of health care spending is from the private sector and by 2012 it is expected to rise from the current level of Rs. 69,000 crore to Rs. 156,000 crore. In addition public spending could double from current Rs. 17,000 crore if the government reaches its target spending level of 2% of GD, up from 0.9%

today. [Data source *Healthcare in India* : *The Road Ahead*, A Report by CII ó Mckinsey & Company]

India has 1.5 beds per 1000 people, while middle income countries such as China, Brazil, Thailand and Korea have an average of 4.3 beds. As compared to middle and high-income countries where registered physicians are 1.8 per 1000 people, in India we have 1.2 (of which only 0.5 are registered allopath). This necessitates significant improvement of infrastructure. Across the country approximately 750,000 additional beds will need to be added to the exiting base of 1.5 million beds. Additional 520,000 physicians will be required over and above the numbers that will be added through existing medical colleges, to reach a ration of one allopathic practitioner per 1000 people. It is estimated that creating this capacity will require Rs. 100,000 crore to Rs. 140,000 crore of investment over the next 10 years. After factoring in the expected capital investment by government and multilateral agencies during this period, it is estimated that almost 80% of this amount will need to come from the private sector. [Data source: *Healthcare in India: The Road Ahead.* A Report by CII ó Mckinsey & Company]

In this background the role and importance of other stakeholders in health sector, apart from Government can be easily appreciated.

Public-Private partnerships in health sector can supplement the governmentøs efforts in several ways enumerated below:

- By ensuring access to services in regions or for groups that the government cannot adequately cover
- Increased number of people receiving health service
- Conservation of scarce public resources and their targeting for the poor
- Source of revenue for the private and public sector partners
- Ensuring regular supply of medicines, etc.
- Improved infrastructure and facilities
- Easing the pressure on the public sector

B. Scope of Public Private Partnerships in West Bengal

The Government has a very open mind in so far as selection of partners and design of partnerships are concerned. However, the information given below in this paragraph will give some idea about the range and scope of such collaborations.

B1. Public-private partnerships already in place

a. Diagnostics
   i. CT Scan established in 7 medical college hospitals.
   ii. MRI installed in one medical college hospital.
   iii. Agreements signed for diagnostic facilities in 19 Rural Hospitals for X-ray, USG and selected pathological examinations.

b. NGO Partnerships in AIDS Prevention & Control Programme undertaken by West Bengal State AIDS Prevention & Control Society.
   i. Partnership with NGOs for implementation of 43 Targeted Interventions for highly vulnerable groups such as Female Sex Workers, Males having sex with Males, Injecting Drug Users and Bridge Population Groups such as truckers, migrant labours, street uncovered zones of service delivery.
   ii. Partnerships with NGOs for running 23 voluntary and Confidential Counseling and Testing Centres.
   iii. Partnerships with NGOs and CBOs for running 10 different centres in various hospitals under the prevention of parent to child transmission Project.
   iv. Partnerships with 3 NGOs for providing care and support services for people living with HIV/AIDS.

B2   Public-Private Partnerships Proposals under Examination

a. Establishment of a private medical college
b. Establishment of a dental college
c. Dialysis units in tertiary level hospitals
d. Three mechanized laundry units for hospitals in Kolkata
e. Establishment of a chamber hospital
f. Sale of fair priced quality drugs, contraceptives, consumables, etc. through socially franchised private shops to be set up in BPHCs/Rural Hospitals. For cost effective procurement and managing supply chain, a special purpose vehicle in form of a Joint Venture Company is proposed to be set up.
g. Outsourcing the management of selected non functioning primary health centres.
h. Emergency transport network: Management of vehicles for emergency transport in BPHCs and PHCs through NGOs/CBOs/Trusts, etc.

B3   Public –Private Partnership initiatives envisaged under Reproductive and Child Health Programme II

i. The current social marketing scheme as envisioned by GOI is to be expanded and diversified and new social franchising initiatives will be developed.

ii. Current contracting in approaches of both Health and Non-health professionals will be developed and expanded.

iii. Current contracting out approaches (for clinical services, non clinical services and BCC management and ancillary functions) will further be developed and expanded.

C. The New Paradigm

In recent years there has been a paradigm shift in the policy planning of the department and in view of this the following issues that have been adopted as a policy by the department shall guide the overall approach in priority of development of PPP.

1. To achieve the ambitious targets set by the DHFW there is a need to introduce courageous and quite radical reforms, which represent a challenging agenda of re-orientation of the public sector. It has been recognized that government has a stewardship role to play in order to ensure both the public and the private health systems operate and interact in such a way that all parts of society and particularly the most vulnerable parts have access to affordable good-quality essential services.

2. Under the new strategy, the GoWB has decided to replicate and scale up successful service delivery experiences such as those initiated during the IPP-VIII project in the poor areas of Kolkata, characterized by community participation and ownership, flexible delivery systems, and focus on results (outputs and outcomes).

3. It has been decided that it is important to distinguish more clearly between problems which have efficacious interventions exclusively as part of ambulatory care service ó such as the life-threatening illnesses and communicable diseases and those which do not, such as reducing maternal and neonatal mortality. The former can be addressed exclusively by actions to affect services at or near community level. The latter typically also require higher-level services, usually beyond those that can be adequately financed or provided at the primary health center level.

4. To improve post neonatal and child mortality indicators, control communicable diseases, and prevent non-communicable diseases, the focus shall be on ambulatory care, nutrition, and on diseases prevention and health promotion activities. The targets shall include interventions which will: increase coverage of immunization; prevent those diseases for which there are already good preventive interventions; recognize at an early stage and promptly and effectively treat life threatening illnesses (especially ARI, diarrhea and malaria); and improve child feeding practices to prevent malnutrition; improve child nutrition; and increase age marriage. How to do this at a time of severe fiscal constraints is the challenge that can be partly met by involving private partners in service delivery, community outreach and social mobilization.

5. For maternal and neonatal mortality reduction, improved antenatal care, increased coverage supervised deliveries, and improved postnatal care are essential. First referral units need to play a critical role by providing 24-hour access to emergency obstetric care services.

6. The challenge shall be attempted to be addressed from several points of view; in secondary care, further improving performance of public facilities, and making a better use of the growing capacity of private facilities, in primary care, strengthening the coverage/quality of public providers (mainly ANMs and PHC staff, but also including nutritional programs such as ICDS), engaging formal and informal non-government providers (which account for more than 80 percent of first-contact services), experimenting innovative delivery systems characterized by outreach activities, team-work, greater community participation and new accountability mechanisms based on resutlts.

7. The Government appreciates and realizes the fact that attainment of many of the goals adopted by the DoHFW cannot be done without involvement of the private sector and that shall certainly lead to improved health services, building on the experience being accumulated in the national TB and other programs (such as IPP-VIII), and on the other initiatives more recently initiated by the Department.

8. The market share of the private sector in both and urban areas and for both inpatients and even more outpatients is large and increasing. For ambulatory care, the first healthcare provider consulted, especially by the poor, is most frequently a Rural Medical Practitioner / traditional healers / quacks, etc. Qualified private providers are also important, especially for those with higher incomes but also for the poor in some more developed areas. In some locations and for specific services NGOs are the most important providers.

9. However, quality of treatment and care in the private sector and process of over-medicalization of treatment are serious issues, which shall be addressed by the Government, particularly quality of care provided by not-fully qualified providers. There care several types of not-fully qualified providers, including practitioners of traditional forms of medicine who also administer allopathic treatment, faith healers, assistant pharmacists and drug sellers, etc. The anecdotal evidence available suggests that informal providers continue to practice irrational medicine, and can endanger their patients health by unnecessary and often unsanitary treatments, such as harmful injections, and over-prescription or under-prescription of antibiotics. For qualified providers, anecdotal evidence indicates

that; a) their services are too costly and not accessible to be well beyond poor people's ability to pay; b) they tend to over-prescribe and provide unnecessary treatment, particularly to better-off patients (supply-induced demand)

10. The private sector has enormous unexploited potential to help deliver information and services that would address the priority health goals, but in order to exploit such potential a completely new approach of engagement shall be adopted by the Government.

11. Some priority areas for PPP have already been identified which are either under implementation of examination. These have already been indicated in Section C under the heading ÷Scope of PPPø. However, the list given there is only illustrative and not exhaustive.

12. Another area where the private sector could play a potentially important role is in improving maternal health; both by providing antenatal and postnatal care services, as well by contributing to step up coverage of emergency obstetric care services. For the latter, Secondary care facilities both in the public and private sector shall play a critical role.

13. Although it is common to see the provision of supervised deliveries as the responsibility of the state, this need not be the case. West Bengal shall look at all the options for supervised delivery including deliveries performed in private sector.

14. Finally, for other secondary care and tertiary services, whose impact on priority health outcomes is more limited, a much increased emphasis on private sector investment in hospitals will be given to help the Government to create fiscal space for reallocation of funds to activities in support essential services. This will also help create bed space for the poor in public hospitals. It shall be ensured that agreements between government and private sector in tertiary care result in net savings for government, and not additional expenditure, so that more resources can be devoted to essential public health and primary care services.

15. A gradual and planned increase in involvement of the private sector in provision of hospital beds by setting up more private nursing homers and hospitals, together with greater autonomy and strengthening of the current system of user fees at public hospitals shall be attempted. In order to achieve the above, the GoWB shall develop an institutional framework for enhancing the quality of care in the private sector, which would include licensing, an accreditation system, and a continuous programme of quality monitoring and evaluation. The may require setting up of an Independent Board / Authority in place in due course.

D. Some Partnership Models

The Department of Health and family Welfare (DoHFW), GoWB would adopt measures to translate the policy framework into operational strategies. It has been the international experience that following types of public private partnership models can be established for different areas, objectives and situations. DoHFW, GoWB would also adopt suitable models on case to case basis.

Model 1: Build, Operate and Transfer

Build, Operate and Transfer Model is usually preferred for projects involving large size and long duration lease (usually 25 to 30 years). In this option the private sector will bring in the required capital investment, build and operate the facility as per the specified outputs of DoHFW, GoWB. At the end of the lease period, the facility will be handed over to the DoHFW, GoWB.

Salient Features :

a. Contractor (usually a consortium of private partners) provides a running facility.

b. DoHFW, GoWB will specify clear outputs

c. Payments by DoHFW, GoWB will be linked to and will be proportionate to achievement of outputs tye the private sector parter

d. Balance of risk will get transferred to the private partner ó optimal risk sharing

e. Usually of a long term duration (25 ó 30 years)

f. Needs good and efficient monitoring system, which is not easy to setup.

g. Control over the facility will be retained by the DoHFW, GoWB.

h. A Special Purpose Vehicle (SPV) will be created by the private sector partner for implementation of the particular project. The SPV could be a separate company or a legal entity, which comes into existence exclusively for the purpose of that particular initiative and the life of such entity will be co-terminus with the life of the project under consideration.

Critical Success Factors	Features ÷cø, ÷dø and ÷gø
Advantages	Features ÷cø, ÷dø and ÷gø
Limitations	Features ÷eø and ÷fø

Model 2 Joint Venture Company

Joint Venture, as a model for private sector participation, entails both the DoHFW, GoWB and the private sector partner bringing in equity capital, which need not necessary be in monetary terms for the DoHFW, GoWB. DoHFW, GoWB will enjoy a proportionate share in the equity in the company for the opportunity, space, market, authorization, goodwill, etc. that it will provide to the private sector for operating a particular service or a set of services.

Salient Features:

a. Both DoHFW, GoWB and private sector partner will bring in some value, which is tangible in nature and could be quantified for determining allocation of percentage shares in the company.

b. Risks will be shared by both the partners, but here the stake as compared to Model1 is limited because there is no long term commitment as in the BOT (Model 1).

c. Returns, in form of cash or services/ goods (non cash), are shared between both the partners proportionate to the equity allocation

d. Simple to set up

e. Government's involvement in the governing board slows down the progress

f. Usually it is difficult to monitor õbenefits in kindö

g. Government may not have expertise in the relevant area

Critical Success Factors	Clarity of roles of the partners
	Good monitoring system
	Clearly laid out exit policy
Advantages	Features –aø
Limitations	Features –fø and –gø

Model 3 Buying a Product/ Service

Buying of a product or service will be usually preferred by the DoHFW, GoWB to meet gaps/ demands in services for a short period of time. This option might not always be a cost effective solution and therefore will be a short-term solution to the need. Usually products purchased are in form of specialized services, like conduction of lithotripsy, dialysis etc.

Salient Features :

a. Simplest of all forms

b. Outputs are easy to measure

c. Prices are determined in advance

d. Better clarity of transactions

e. Easy to control

f. No long term commitment

g. No long term risk involved

h. Low risk for both the partners

Critical Success Factors	Clear definition of outputs
	Good contracting experience with legal know how
Advantages	No legal entity required to deliver Can help in managing short term sudden increase in demand of a particular service
Limitations	Could in certain circumstances be costly

Model 4 Outsourcing

Outsourcing, as a model, is similar to õBuying a Productö except that unlike the later the former covers the entire service package for a particular area, like the complete diagnostic set up could be outsourced by the DoHFW, GoWB to a private partner to provide all diagnostic tests that the DoHFW, GoWB wants.

a. Simplest of all forms

b. Outputs are easy to measure

c. Prices are determined in advance

d. Better clarity of transactions

e. Easy to control

f. Commitment depends on the type and length of the contract

g. No long term risk involved

h. Low risk for both the partners

Critical Success Factors	Clear definition of outputs
	Good contracting experience with legal know how
Advantages	No legal entity required to deliver Can help in managing short term sudden increase in demand of a particular service
Limitations	

Model 5 Social Marketing and Franchising

The DoHFW, GoWB will work closely with the private sector/ NGOs to use their extensive marketing and distribution capability to promote social services/ products to meet community needs through a combination of social marketing and social franchising approaches.

Salient Features :

a. Inbuilt strategies for financial sustainability

b. Improved access to health care

c. Increased efficiency, coverage and utilization of services

d. Standardized quality and uniformity of delivery

e. Objectives and performance criteria are carefully defined and monitored

f. Effective decentralized implementation systems are institutionalized

g. Encourages healthy competition in delivery of services

h. Standard Operation Procedures (SOP) are put in place and implementation team is well trained on the SOP.

Critical Success Factors	Features ÷aø, ÷eø, ÷fø and ÷hø
Advantages	Features ÷bø, ÷cø, ÷dø, ÷gø
Challenges	Setting up of effective service delivery management systems and procedures. Setting up mechanisms of total quality management and continuous quality improvement

Model 6 Working with Civil Society

The Government is committed to the concept that health of the community is safest in the hands of the community. The Government's role is to empower the communities and work with them for service delivery in some identified areas.

Salient Features :

a. Clear identification and documentation of areas/ schemes where Civil Society could be involved

b. Schemes to be easily available and accessible

c. Clear guidelines for pre-grant appraisal to be developed and guidelines to form a part of the scheme

d. Strategies to be developed for institutional strengthening of NGOs including developing governance and management systems

The Department of Health and Family selfare, GoWB will invite NGOs to partner in the following areas :

i. Behavioural change communication initiatives focusing on improved household practices especially child bearing and rearing, small family norm, increasing age at marriage of girls, improving health seeking behaviour, promoting higher utilization of government healthcare facilities.

ii. Advocacy support initiatives aimed at promoting partnerships with the community and community based organizations such as self help groups, youth clubs, mahila mandals, village panchayats, village health committees etc.

iii. Responsibility for provision of specific support services such as emergency transportation, sanitation and maintenance of public hospitals as well as the running of diagnostic facilities.

iv. NGOs would also be considered for taking responsibility of managing operations of selected PHCs and Sub Centres with the involvement of local doctor/ nurses.

v. NGOs would be invited to set-up and operate medical and para-medical educational institutions in the State.

Some illustrations of the areas in which PPPs can be implemented are:

- Outsourcing no-clinical (cleaning, catering, building maintenance including asset management) support services

- Buying in/ outsourcing clinical support services (such as diagnostic services)

- Buying in/ outsourcing specialized clinical services (such as dialysis) or routine procedures

- Private management of a public hospital

- Private financing, construction and leaseback of a new public hospital (BOO)

- Private financing, construction and operation of a new public hospital (BOOT)

- Authorizing patients from the OPD of a government hospital to a private facility at a fixed predetermined price.

E   Specific Areas for PPP in West Bengal

Within the overall framework of different models indicated in Section E above the following specific areas can be considered both by the Government as well as private partners for PPPs.

i. **Tertiary & Secondary Level**

E.1.1 Outsourcing support services such as diagnostic and pharmacy services in government hospitals of West Bengal to specialized private partners meeting prescribed quality standards.

E.1.2 Government hospitals in West Bengal partnering with private hospitals for provision of specialized medical services to patients referred by the government hospitals.

E.1.3 PPPs to upgrade/ establish and operate specialized treatment services/ wards and facilities (including diagnostic services) within government hospitals in West Bengal on profit sharing basis.

E.1.4 GoWB may invest in land and building of a new or an existing hospital. For example, the private partners could bring in the equipment be given executive management roles with Department of Health and Family Welfare, Government of West Bengal participating in the governing board. In this case the partnership can be in the form of a joint venture or a management consortium with voting rights of both partners protected.

E.1.5 The DoHFW, GoWB may hand over the management of an existing public hospital to a well-established private partner under a partnership agreement with the responsibility of investing in the hospital for its up-gradation/ expansion and management.

E.1.6 The DoHFW, GoWB would invite private partners to invest in setting-up and operating fair price pharmacies in government hospitals.

E.1.7 Operational management of catering, laundry, sanitation/ cleaning and waste management, gardening, security, parking are some of the support services that would be priority areas for PPP.

E.1.8 Partnerships for using the larger government hospitals for GoI approved medical research including drug trials will be explored on revenue generating basis.

E.1.9 Shelter and sheds for the attendants of the patients and other civic amenities like public toilets.

E.1.10 Medical Waste disposal systems

E2 **Primary Healthcare Level**

E2.1 The Department of Health, GoWB may handover management of health sub centres, Primary Health Centres, BPHCs/Rural hospitals to private/NGO partners under lease agreements (with or without government staff).

E2.2 The Department of Health, GoWB would partner with private players to set up and operate a network of diagnostic centres in the State covering their PHCs/Rural hospitals with appropriate range of diagnostic services on a fee for service basis and profit sharing agreements.

E2.3 The DoHFW, GoWB would invite private partners to provide emergency transportation and trauma care services.

E2.4 Private pharmaceutical manufacturers/distributors could partner with the Department of Health, GoWB to set up & operate a network of fair price pharmacies for genetic drugs (essential drugs lists) operated from within/outside the government hospital facilities.

E2.5 Private distribution and rural marketing companies could partner with the DoHFW, GoWB to market contraceptives and maternal and child health related drugs and supplies at agreed prices.

This is to again clarify that the above mentioned examples are only illustrative and a lot of other innovative schemes and approaches can be implemented.

F **Guiding Principles**

1. The PPP model will only be used where it is appropriate and where it can deliver value for money. Enhanced competition, innovation, optimal risk transfer, the use of whole life costing, improved asset maintenance are some of the expected benefits of the PPP approach. But these potential benefits shall not be taken for granted and must be demonstrated on the basis of evisence in each case. A robust and transparent process for assessing the value for moneyof each project would therefore be essentially adopted.

2. The PPP approach will be used where the private sector can offer innovative design, management skills and expertise, which can facilitate risk reduction and can bring substantial benefits.

3. The PPP model will not be used where the transaction costs of pursuing PPP are disproportionately high as compared to the overall value of the project.

4. Under the PPP model, private partners will enter into long-term partnerships and take responsibility for the quality of service they provide through the particular project. To ensure the success of a project, optimal share of risk between the Department of Health and Family Welfare, Government of West Bengal and private sector would be promoted, with each partner retaining the risk, which they are best placed to manage.

5. The success of PPP arrangements shall depend in large measure on the sustained participation of the Department of Health and Family Welfare, Government of West Bengal and the private partners in real partnerships to deliver quality health services to the people.

6. Innovative cost recovery and financially self-sustaining strategies will receive preference in all areas of PPP.

7. Pro poor strategies to ensure and equitable access to health services will be given preference.

8. Approaches suggesting innovative strategies entailing no additional financial burden on DoHFW, GoWB will be given preference.

9. The Department will generally frame the models/schemes for different areas of PPP and publish them as government policy documents as and when they are ready. Usually the partners will be selected through the process of press tendering.

10. The processing of the individual proposals which is very special in nature shall be started only with the approval of the Minister-in-Charge of the Department.

11. No proposal for allotment of land or assistance in giving land for establishment of any hospital or other health facility shall be processed by the Public Private Partnerships Branch of the Department, except the cases where the land belongs to the Department of Health and Family Welfare.

Chapter XI

Improving the quality of life of Scheduled Castes, Scheduled Tribes, Minorities and people living in the geographically isolated areas viz. Char, Tea gardens and Border Areas and measures to improve the Government Delivery System therein.

Improving the quality of life of Scheduled Castes, Scheduled Tribes, Minorities and people living in the geographically isolated areas viz. Char, Tea gardens and Border Areas and measures to improve the Government Delivery System therein.

To undertake study and to make specific recommendations as contemplated in ToR 5, the most important requirement is status papers with reliable up-to-date data and information in respect of people like Scheduled Tribes, Scheduled Castes, Tea Tribes, Minorities as well as people living in the Char and Border Areas. But unfortunately such data and information are not available easily. For implementation of result oriented, need based development programmes for the benefit of the aforesaid categories of people, the Commission recommends that people/area specific techno-economic study with analysis should be taken up with scientifically designed parameters. Assam Tribal Research Institute may take up such study in respect of SC, ST and OBC. Directorate of Economics and Statistics may cover Minorities, Char Areas and Border Areas.

On the basis of data and information whatever made available to the Commission, the Commission has formulated the following broad recommendations for improvement of delivery system as well as implementation of development programmes with the objective of economic empowerment and also general development of these weaker sections.

Welfare of ST, SC, Tea tribes and Char Area people

The total population of these categories of people shown below:

a) ST (Plains)   2727179   (10.23% of State Population)
b) ST (Hills)   581391   (2.18% of State Population)
_____

   Total   3308570   (12.41% of State Population)

c) S.C   1825949   (6.85% of State Population)
                  (*Source :Directorate of WPT & BC

In this context, it may perhaps be clarified that the Scheduled Tribes, discussed here are ST Plains excluding Hill Tribes of NC Hills and Karbi Anglong Districts, whose welfare is looked after by the respective Autonomous District Councils

The WPT & BC Department looks after the Welfare of ST (P), SC, OBC and Tea Garden Tribes people. The department carries the welfare activities through the following Directorates:

1. Director, Welfare of PT & BC
2. Director, Welfare of SC
3. Director, Welfare of Tea Tribes

The Directorate of WPT & BC implements welfare schemes through the District and Sub-Divisional offices. The plains districts of Assam are divided into 19 Integrated Tribal Development Projects (ITDP) for implementation of the Tribal Sub Plan (TSP). For each ITDP there is a Project Director who is an ACS (Senior Grade) officer. There is a Project Implementation Committee (PIC), with a non-official chairperson, to approve beneficiaries and to review implementation of the TSP Schemes. For implementation of schemes outside the TSP, there are 43 Sub-Divisional Welfare Offices (SDWO). In each SDWO, there is a Sub-Divisional Welfare Board, with a non-official Chairperson, to approve beneficiaries, to select areas and institutions outside TSP areas and to review implementation of schemes. There is also a Sub-Divisional OBC Welfare Board for implementation of the welfare schemes for OBC people. The Directorate implements schemes for promotion of Education, Income Generation (FOIGS) and Infrastructure Development (roads, bridges, school/college buildings, community halls, and drinking water).

The Directorate for Welfare of SC implements welfare schemes through the SDWOs. The beneficiaries of the schemes are selected by the Sub-Divisional SC Development Boards, which have non-officials as Chairpersons. It implements scholarship schemes through the Project Director, ITDP. The Directorate also provides grants to the Autonomous Councils for Rabhas, Misings and Tiwas for the benefit of the poor SC people in the council areas. Two more Autonomous Councils one for Deuries and the other for Sonowal Kacharis have been formed recently.

The Directorate for Welfare of Tea Garden Tribes (including ex-Tea Garden people) implements schemes for the welfare of tea-tribes population. For economic development of the people it provides grants-in-aid under õFamily Oriented Income Generating Schemesö to BPL persons. For promotion of education, scholarships are awarded and grants-in-aid are provided. It also supports welfare works and cultural activities by NGOs.

Assam Tribal Development Authority (ATDA):

The Assam Tribal Development Authority was set up in 1983 under an Act of the State Government. It was set up for socio-economic development of tribal people and to formulate schemes within the framework of State Plans. ATDA has notified the ITDPs and SDWOs as agents. With funds received under Special Central Assistance (SCA) from the Government, it implements schemes for income generation and infrastructural development. It also implements a Vocational Training Scheme under the Central sector.

Corporations:

The following corporations have been established for the welfare of ST (P), SC and OBC.

1. Assam Plains Tribal Development Corporation
2. Assam State Development Corporation for SC
3. Assam State Development Corporation for OBC

The Corporations mainly look after socio-economic development of BPL people.

Char Areas:

The whole tract of river Brahmaputra covering about 800 km in Assam is having 3608 sq km char areas (4.6% of the state area)

The Char areas are distributed in 23 Sub-Divisions falling under 14 districts, with 2251 villages in 299 Gaon Panchayats and 59 Development Blocks. The total population of the char areas is 24.90 lakh with 12.72 lakh males and 12.18 lakh females, i.e. 958 females per 1000 males, and the total number of families is 4.35 lakh of which 2.95 lakh (68%) are below the poverty line. The Char areas include Majuli with a population of 2.15 lakh. Density of population per square kilometrer in Char Areas is much higher than average density in the State (690/sq. km. against State average of 340/sq. km.).

The literacy in the char areas is 19.31 per cent. The literacy for the areas in Jorhat district (where Majuli is situated) is 60.55 per cent and for the other districts it varies from a minimum of 12.34 per cent for areas in Darrang district to the maximum of 18.50% for the areas in both Marigaon and Lakhimpur districts.

The picture of educational facilities in Char areas may be seen in the following statistics.

		In Majuli	**In other areas**	**Total**
L.P. School	-	423	1429	1852
M.E. School	-	138	436	574
High School	-	90	128	218
H.S. School	-	4	4	8
Colleges	-	8	10	18

- There is great disparity between Majuli and other areas.
- One L.P. School serves 508 people in Majuli but 1592 in other areas.
- One ME, High or H.S. School serves 968 people in Majuli and 4005 in other areas.
- One College serves 26,875 people in Majuli and 2, 27,500 in other areas.
- There is disparity also in medical facilities as may be seen from the following figures.

	In Majuli	**In other areas**	**Total**
P H C	8	44	52
Sub-Centre	18	114	132

There is one PHC for 26,875 people of Majuli and for 51,704 people of other areas, and one Sub-Centre for 11,944 people of Majuli and 19,956 people of other areas.

The Assam State Char Areas Development Authority was established in 1983 for upliftment of people living in char areas as a Special Area Programme. Subsequently in 1996, this Authority has been converted to a full-fledged Directorate of Char Areas Development.

Border Areas:

Assam has international and inter-state boundaries totaling 2275.5 kilometer in length as given below:-

A: **International Boundary**

(1)	Indo Bangladesh			
	(a)	Dhubri-Rangpur	-	134 Km
	(b)	Cachar-Sylhet	-	37 Km
	(c)	Karimganj-Sylhet	-	<u>92 Km</u>
				263 Km
	<u>Indo-Bhutan</u>			<u>269 Km</u>
			Total :	532 Km

B: Inter-State Boundary

(1)	Assam-West Bengal	-	128	Km
(2)	Assam-Meghalaya	-	723.2	Km
(3)	Assam-Nagaland	-	434	Km
(4)	Assam-Manipur	-	132.8	Km
(5)	Assam-Arunachal	-	704.8	Km
(6)	Assam-Mizoram	-	130.0	Km
(7)	Assam-Tripura	-	23.5	Km
		Total	2276.3	Km

Protection of international boundary is the responsibility of the Central Government, whereas protection of inter-state boundary is the responsibility of the concerned State Governments. Inter-state boundary is constitutionally well-marked and well-defined, but some states have disputed the notified boundary leading even to border clashes resulting in loss of lives and properties, necessitating intervention by the Central Government. The two Boundary Commissions were constituted one for demarcating boundary between Assam and Nagaland under Shri K.V.K. Sundaram in 1971 and another to demarcate the boundary between Assam and Meghalaya under Justice Y.V. Chandrachud, former Chief Justice of India in 1985. Both the learned Commissions after mature deliberations and detailed study of historical records upheld Assam's claims, which was rejected by the State Governments of Nagaland and Meghalaya respectively. At present the Hon'ble Supreme Court is hearing the boundary dispute between Assam and Nagaland.

Boundary dispute with Arunachal Pradesh, Mizoram and Meghalaya could not be settled in spite of several rounds of discussion at the highest level. There was agreement to have joint survey of boundary, but this also could not proceed due to last minute objections of the neighbouring states. Tension continues to prevail in some border areas, though the concerned state governments have agreed to maintain status-quo.

In respect of international boundary, there is clear guidelines of the Government of India for development of border areas contiguous to the international boundary. The Central Government have treated all blocks situated at the international boundary as border blocks which are considered as spatial unit for implementation of all development schemes sanctioned under Border Areas Development Programme started in 1993-94, initially for infrastructural development in the bordering areas of Indo-Bangladesh border, which was later extended in 1999-2000 to Indo-Bhutan border. 15 blocks in Assam-Bangladesh border and 10 blocks in Assam-Bhutan border have been identified as border blocks and all schemes drawn up under Border Area Development Programmes are implemented

through the respective blocks. The Border Area Development Programme is 100% centrally funded under Special Central Assistance Schemes allotted as grant on the basis of (i) length of the international border, (ii) population of border blocks and (iii) area of border blocks. In fact the Planning Commission has formulated specific guidelines for Border Area Development Programmes with the objective of meeting the special needs of the people living in remote and inaccessible areas situated near international borders.

Funds sanctioned under the above schemes since 1999-2000 is given below:-

1999-2000	-	720 Lakhs
2000-2001	-	748 Lakhs
2001-2002	-	748 Lakhs
2002-2003	-	748 Lakhs
2003-2004	-	748 Lakhs
2004-2005	-	748 Lakhs

The schemes cover not only development of infrastructures like road, bridges but also cover schemes for economic benefit like agriculture, fishery, horticulture, healthcare, education, vocational and technical education, social forestry, rural sanitation, drinking water supply, training for skill up-gradation, employment generation programme etc.

The scheme also envisages involvement of village panchayat at all levels of decision making for selection of schemes, implementation and monitoring.

In respect of border areas of inter-state boundary, there is no clear demarcation of boundary of the border areas. As a result even basic statistics like number of villages falling in border areas, population, number of schools, dispensaries etc are not available with the Directorate of Border Areas. Therefore government delivery system has not even remotely touched the villages lying close to inter-state border, who are constantly living in fear of attack from the neighbouring states. No development work has taken place, no welfare schemes even reached the people living in the remote villages. Even basic amenities of life like drinking water supply, schools, dispensaries are absent in those area.

ii. Fund allotted by the State Government for border area development is too meagre to be of any use. Following figures illustrate the inadequacy of fund.

1999-2000	-	Nil	Lakhs	
2000-2001	-	90.25	Lakhs	
2001-2002	-	161.93	Lakhs	
2003-2004	-	82.00+	Lakhs	Could not be drawn due to non-receipt of ceiling
2004-2005	-	84.50	Lakhs	Yet to be disbursed to the D.Cs.

The above figures speak for itself. For two years 1999-2000, 2003-2004 ó no fund was available. In other years, fund is so little that any improvement worth the name in an area comprising more than 2000 km. in length is not possible.

(iii) Whatever fund is allocated, they are used for constructions of rural roads, bridges, BoPs etc. Other sectors such as health, education, sanitation etc are completely neglected. As a result, people are not attracted to reside in the border areas. Taking advantage of sparse population, large number of undesirable elements are reported to have occupied vast tract of border areas which would pose a threat to the territorial integrity of the state.

(iv) Due to remoteness of the area and lack of basic amenities, lower level government functionaries such as school teachers, nurses, village-level workers, Extension officer etc. are reluctant to stay in the border areas. Their visit to those areas is also less frequent. As a result people in the border areas are deprived of the benefits of most of the welfare schemes launched by the State Government with much fanfare.

(v) Non- involvement of villageólevel institutions at any stage of the decision making process is another reason for the failure of the government delivery system.

General Recommendations

1: For cost-effective efficient delivery of government services/benefits to ST, SC, Tea Tribes, Minorities, residents of Char Areas, Border Areas, the number of delivery agencies should be restricted to one for each category.

2: For ST, at present we have five statutory Autonomous Councils for Bodo, Mising, Tiwa, Rabha-Hasong, Deuri and Sonowal Kacharis. The councils have covered all the core areas of respective tribes. Delivery of government services/benefits to STs residing in the Autonomous Council areas of Assam should be entrusted to these councils.

3:   STs outside Autonomous Councils could be covered by ITDPs (which is a Central Government pattern). After the formation of Autonomous Councils as mentioned above, the ITDPs would be having spare time and infrastructure, which should be utilized by the State Government for managing delivery services for the benefit of SC and OBC. This could be done with minor structural adjustment without any financial implication.

4:   Assam Tribal Development Authority was constituted in 1983 as an umbrella organization to look after the development of ST population of the state living in plains. But after the formation of so many Autonomous Councils to look after different tribes, the role of ATDA has become redundant and this organization may perhaps be abolished.

5:   As a measure of economy, instead of appointing a separate Principal Secretary for the smaller Autonomous Council, the Project Director of ITDP could be made Ex-officio Principal Secretary. This would result in considerable saving of the meagre resources now allotted to these councils. For this purpose headquarters of the concerned Project Directors should be located accordingly.

6:   Directorates of SC, ST etc. should confine their activities to supervision, guidance evaluation and monitoring. The Directorates need not be involved in delivery services; as has been done now. At present, the same quantum of fund allocated for development of STs has been transacted by a number of delivering agencies, thereby enhancing the cost of such delivery which should be avoided. Government guidelines should stipulate the maximum percentage which should be spent as overhead cost. It should be examined if all the aforesaid Directorates could be merged into a single Directorate of Social Empowerment.

7:   For welfare of people working in Tea gardens statutory obligation of the management to provide amenities to tea garden workers should be strictly enforced.

8:   For development of Char Areas as well as economic empowerment of BPL families, a road map should be carefully prepared by expert/experts. The Master Plan prepared by the Minority Welfare and Development Department for **Micro-Credit Extension** in Char Areas (prepared with the help of Geography Department of GU) is a good step in this direction. Similarly, compilation of statistics

published by Directorate of Char Areas Development under the caption õSocio Economic Survey Report 2003-2004ö is praise worthy, and these figures could provide basis for undertaking techno-economic study of the issues pertaining to Char Area development. But the road map suggested by us should be a realistic one covering all aspects of Char development, prepared on the basis of techno-economic study and analysis, providing methodology for implementation of programmes on the basis of the road map.

8:1   The Mobility of Char dwellers is greatly restricted by physical barriers, since there is no transport linkage not only between Char areas and mainland, but also within the char areas. Immediate steps should be taken to improve the communication facilities as otherwise all efforts to improve the socio economic condition of char dwellers would not be successful.

9:    For economic empowerment of BPL Char families Pilot Scheme for economic empowerment through individual skill development backed by need and skill based micro-credit should be tried through **Self Help Groups.**

10.   If the Pilot Schemes mentioned above succeed, this may be the pattern for economic empowerment not only for Char BPL families but for other weaker sections like ST, SC, Tea Tribes, Border people etc. Implementation of individual Family Oriented Schemes would be hardly of any help to tackle this gigantic problem of economic empowerment.

11.   For providing elementary coverage to BPL families, relating to health & hygiene, literacy etc. help of reliable NGOs may be utilized who should function through committees of actual beneficiaries at local level.

12.   Following the Government of India guidelines, the State Government may identify the border development blocks and specify gaon panchayats located in the inter-state border areas for implementation of special development programmes for the benefit of people living in border areas.

13.   After identification of the border block, and gaon panhchayat detail survey be made to assess the needs of the people and the critical gaps in physical and social infrastructure so that a perspective plan for development of border areas can be prepared and implemented.

14. While preparing schemes, Planning Commission guidelines (Annexure) be followed so that besides infrastructural development schemes embracing education, health, agriculture, social sector can also be prepared.

15. Gaon panchayat and Anchalik panchayat be involved in selection of schemes, implementation and monitoring.

16. State Government may consider earmarking one percent of fund from all development departments for Border Area development programmes for which a non lapsable fund could be created. This would increase the availability of fund for development of border areas.

17. Government officers working in border areas be given remote area allowance of 15% of his basic salary as an incentive to work in the interior areas.

18. The Directorate of Border Areas be upgraded to a Commiserate with a Commissioner of Border Areas whose main functions would be-

    I.   Overall administrative charge of all border blocks both at the international and inter-state boundary.

    II. To prepare schemes for border areas development both at the international boundary and inter-state boundary.

    III. To liaise with his counterpart in the neighbouring states in the case of border dispute

    IV. To work in close coordination with IGP (Border) to maintain territorial integrity of the inter-state border and also with Divisional Commissioners as suggested by the Commission while recommending decentralization of powers up to Divisional level vis-a-vis strengthening the role and powers of Divisional Commission (Para 14, Functions of Divisional Commissioner)

    V.   To maintain all historical records of the border, so that in case of any legal dispute these can be readily made available.

    VI. Any of the work that may be allotted by the government relating to the border.

VII. People affected by flood, erosion or displaced otherwise may be encouraged to settle in border areas for which exemption of land revenue for the first ten years may be granted as an incentive.

VIII. Social forestry may undertake massive programmes in the border blocks for afforestation.

IX. The State Government should set up government offices, schools, police out posts, BoPs, dispensary etc. in the border blocks.

X. The State Government should compel the field level officers and staff specifically engaged for work in border areas to stay in their respective areas of work.

The Commission is confident that efficient and effective delivery system for the benefit of the people covered under ToR 5 could be set up on the basis of the recommendations enumerated above.

Planning Commission
(MLP Division)

<u>Border Area Development Programme – Revised Guidelines (April, 2003)</u>

I.   Introduction:

The Border Area Development Programme (BADP) was started during the Seventh Plan with the twin objectives of balanced development of sensitive border areas in the Western region through adequate provision of infrastructural facilities and promotion of a sense of security amongst the local population. The programme was revamped in thee Eighth Plan (1993-94), and extended to States which have an international border with Bangladesh. The nature of the programme was changed from a schematic programme with emphasis on education to a State level Programme with emphasis on balanced development of border areas. During the Ninth Plan, the programme has been further extended to States which border Myanmar, China, Bhutan and Nepal and the programme at present covers all the seventeen States which share international borders.

II.   Coverage:

Border Area Development Programme covers seventeen States namely Arunachal Pradesh, Assam, Bihar, Gujrat, Himachal Pradesh, Jammu & Kashmir, Manipur, Meghalaya, Mizoram, Nagaland, Punjab, Rajasthan, Sikkim, Tripura, Uttar Pradesh, Uttaranchal and West Bengal.

III.   Objectives:

The main objective of the programme will be to meet the special developmental needs of the people living in remote and inaccessible areas situated near international border.

IV.   Funding:

The Border Area Development Programme will continue to be a 100% Centrally funded Area Programme. Funds will be provided to the States as Special Central Assistance for execution of approved schemes on a 100% grant basis and allocated amongst the seventeen beneficiary States on the basis of (i) length of international border, (ii) population of border blocks and (iii) area of border blocks. Each of these criteria will be given equal

weightage. The border block will be the spatial unit for the programme and all schemes would have to be implemented within the border blocks only.

V.   Eligible Schemes:

Schemes should be designed to take care of the special problems faced by people living in the border blocks, particularly in the rural areas. Schemes for rural and remote areas along the international border are to be given preference over schemes for urban areas. A long term Perspective Plan for each Border block should be prepared by the State Government keeping in view the objectives of overall balanced development of the region. The State Government may undertake a study of remote villages in the border blocks in order assess the needs of the people and the critical gaps in physical and social infrastructure. Schemes should be drawn up based on this assessment. Grass root institutions such as PRIs/District Councils/Traditional Councils should be involved in identification of the priority areas to the maximum extent possible. Since the people living in the border areas must have a direct say in the selection of schemes, village level institutions such as Gram Sabhas should be involved in the decision making process. Appropriate modalities may be worked out by the State Government to ensure greater participation of the people of the border areas in the selection of schemes under the programme. Schemes which address problems such as inadequacies relating to provision of essential needs, strengthening of the social infrastructure, filling up of critical gaps in the road network etc. may be taken up under the programme. Emphasis must be laid on schemes for employment generation, production oriented activities and schemes which provide for critical inputs in the social sector (illustrative list of schemes is at Annex. I).

Security related schemes can also be taken up. However, expenditure on such schemes should not exceed 7.5% of the total allocation in a particular year. Construction of housing for crucial functionaries such as teachers, doctors, nurses etc. may be taken up in border blocks under the programme along with construction of small culverts, bridges, bridle paths, feeder roads, etc. However, expenditure on schemes including provision of basic amenities such as supply of drinking water, approach roads, etc., for the border outposts, administrative buildings and road & bridge construction taken together should not be more than 60 percent of the total allocation in any particular year. In addition, up to 15 percent of the total allocation could be used for maintenance of the assets already created under the programme. It may be ensured that no single sector gets a disproportionately large share of the total allocation.

The funds under BADP are to be used for schemes in the identified border blocks only. Funds under BADP are additive to normal Central Assistance and are allocated for addressing the special problems faced by the people of border areas. Hence, these should not be used to replace normal State flows.

VI. Executing Agencies:

To provide flexibility, schemes under the programme can be executed by any of the following agencies:

(i)   State Government
(ii)   Central Government
(iii)   Central Para-Military Organization located in the State; and
(iv)   Voluntary Agencies
(v)   Panchayati Raj Institutions/District Councils/Traditional Councils.

Due emphasis should be given to effective involvement of local people/ democratic institutions / voluntary agencies in order to inspire mutual trust and confidence between the Government and the people.

VII. Empowered Committee:

Policy matters relating to the scope of the programme, prescription of geographical limits of areas in the States within which schemes will be taken up, allocation of funds to the States and similar matters for proper execution of the programme will be laid down by an Empowered Committee in the Planning Commission. The Committee will consist of the following:

1.	Member, Planning Commission	-	Chairperson
2.	Secretary, Planning Commission	-	Member
3.	Secretary, Ministry of Home Affairs, Government of India	-	Member
4.	Secretary, Department of Expenditure, Government of India	-	Member
5.	Secretary, Department for Development of the North Eastern Region	-	Member
6.	Chief Secretaries of the BADP States	-	Member
7.	Adviser (MLP)	_	Member-Secretary

Principal Advisers/Advisers (State Plans) will be permanent invitees to the Committee.

VIII. Screening Committee:

Subject to such general or special directions as may be given by the Empowered Committee, individual schemes located in each State will be approved by a Screening Committee chaired by the Chief Secretary of the State. The Screening Committee will also include representatives of the Ministry of Home Affairs and the Department for Development of the North Eastern Region (DONER), not below the rank of Joint Secretary to the Government of India, representative(s) at similar level of the major para-military organization(s), SSB operating on the State Border, State Planning Secretary, Secretary, Home Department of the State or Secretary, Border Area Development Department (as convener) and the concerned State Plan Adviser / Adviser (MLP) of the Planning Commission. The State Chief Secretary may co-opt members on the Screening Committee depending on the local requirements.

The Screening Committee will have complete freedom to execute the schemes through any of the five agencies mentioned in para VI above. The Screening Committee shall meet at least once in a year but positively in February to finalize the schemes for the following year and assess the progress of schemes under the programme.

IX.   Release of funds, monitoring and review:

Before the commencement of a financial year Planning Commission will inform the States of the funds available for the State during the next year under the programme. A list of schemes proposed to be executed within the ceiling communicated, will have to be sent to the Planning Commission for release of funds to the State. For the North Eastern States, the list of approved schemes will have to be sent to the Planning Commission through the Department for Development of the North Eastern Region. Funds will be released in two installments; the first instalment will be equal to two-thirds of the annual allocation, while the second instalment will be the remaining one-third. The first release will be made by the month of April after the receipt of the list of schemes, duly approved by the Screening Committee along with expenditure incurred till the last quarter of the previous year. The Screening Committee must approve the schemes to be taken up in February of the previous year assuming the level of funding prevailing during that year. The State Governments which fail to have the list of schemes approved by 31st March, will stand to forfeit their first instalment. The first instalment will not be released if the unspent balance exceeds the annual allocation for the previous year. The second release will be made after October depending on

physical and financial progress but not later than February after adjusting unspent balance, if any of the previous year.

State Governments are required to have a separate budget head for the programme. The State Governments will ensure that Display Boards are placed at every block Head Quarter indicating the allocation of funds under the Border Area Development Programme. Display Boards may also be placed in front of the assets created with BADP funds stating õFunded from Special Central Assistance under the Border Area Development Programme.ö

Periodical monitoring of schemes in the Planning Commission will be done by the concerned Member/State Plan Adviser/Adviser (MLP). A review of the programme will be made at least once a year by the Empowered Committee.

Quarterly progress reports (proforma at Annexure 2) should be submitted scheme-wise to Planning Commission (through DONER for the States of North East) giving actual physical and financial achievements and not in percentage terms. The quarterly progress reports should be sent as soon as possible so as to enable Planning Commission to recommend the release of Special Central Assistance. The utilization certificates should be sent by 31st January following the year of release.

<u>ANNEX-I</u>

<u>Border Area Development Programme:</u>
<u>Illustrative list of Schemes</u>

A. Education

a) Primary school buildings (additional rooms)
b) Middle school buildings (additional rooms)
c) Development of play fields
d) Construction of hostels/dormitories
e) Buying of school dresses/books
f) Adult education
g) Public libraries and reading rooms
h) Development of human resource through vocational and technical education
i) TV/dish antennas
j) Books/journals

B. Health:

a) Provision of medical equipments of basic/elementary type, X-Ray, ECG machines etc. can also be purchased.
b) Provision of equipment for Dental Clinic
c) First-aid kit for midwives
d) Construction of public toilets and bathroom
e) Setting up of mobile dispensaries in rural areas by Government/ Panchayati Raj Institutions
f) Health Awareness Programme
g) Eye camps
h) RCH programme
i) Blood Banks
j) Control of Malaria, Filaria, Leprosy, AIDS etc.

C. Agriculture and allied sectors:

1. Animal Husbandry
2. Pisciculture
3. Sericulture
4. Farm forestry, horticulture, pastures, parks and gardens in government and community lands or other surrendered lands.
5. Desilting of ponds in villages, towns and cities

6. Construction of public irrigation(minor work) and public drainage facilities
7. Construction of common gobar gas plants, non-conventional energy systems/devices for community use and related activities
8. Construction of irrigation embankments, or lift irrigation or water table recharging facilities
9. Minor irrigation works
10. Anti-erosion works (only construction of small bunds etc.)
11. Water conservation programmes.
12. Social Forestry, JFM
13. Use of improved seeds, fertilizers and improved technology
14. Veterinary aid Centres, artificial insemination Centres and breeding Centres.

D. Infrastructure:

1. Rural Sanitation
2. Solar Street Lights
3. Solar household Lights
4. Electrification
5. Strengthening of existing roads (only link road)
6. Construction and strengthening of kutcha roads, part road, approach roads, link roads.
7. Drinking water facility ó construction of tube wells, water tanks
8. Repair and maintenance of existing roads
9. Public Distribution System and its improvement (in terms of infrastructure)
10. Industries ó Handloom, tiny units, handicraft, furniture making
11. Construction of culverts/bridges and roads
12. Drains and gutters
13. Footpaths, pathways and footbridges
14. Provisions of civic amenities like electricity, water, pathways, public toilets etc. in slum areas of cities, towns and villages and in SC/ ST habitations.
15. Provision of common work sheds in slums and for artisans.
16. Bus sheds/stops for public transport passengers.
17. Repair and maintenance works of any type other than special repairs for restoration/ up gradation of any asset.

18. Construction of buildings for local bodies for recognized District or State Sports Associations and for cultural and sport activities or for hospitals (provision of multi-gym facilities in gymnastic centres, sports association, physical education training institutions etc.)

E. Social Sector:

1. Construction of community centres
2. Rural Sanitation
3. Anganwadies, Crèches
4. Cultural Centres/Community Halls
5. Construction of common shelters for the old and handicapped.
6. Training for youth for self employment and skill up gradation.
7. Setting up of small industries using local inputs.

<u>ANNEX - II</u>

Border Area Development Programme (BADP) – (Name of State) – Statement showing quarterly progress (Financial) for _____ (year) (for quarter ending _____)

(Rs. Lakh)

Sector/Sub-Sector/Scheme	Approved Quality for (year)	Expenditure during the quarter ending	Cumulative expenditure up to the quarter	Remarks
1.	2.	3.	4.	5.

<u>ANNEX - II (Contd.)</u>

Border Area Development Programme (BADP) ó (Name of State) ó Statement showing quarterly progress (Physical) for _____ (year) (for quarter ending _____)

Sector/Sub-Sector/Scheme	Unit	Target for (year)	Progress during the quarter	Cumulative progress up to the quarter	Remarks
1	2	3	4	5	6

Chapter XII

Rationalisation of
District/Sub-Divisional level Committees

Rationalisation of District/Sub-Divisional level Committees

The Commission had requested the Deputy Commissioners and the Sub-Divisional Officers to furnish lists of district and sub-divisional committees for examining the multiplicity of committees and for recommending reduction in the number of these committees and their rationalization, so that the already over-worked D.C.s/ S.D.O.s were not over burdened with unnecessary committees. From the list submitted by Deputy Commissioners, the Commission found that there were as many as 84 district level committees in a particular District.

The Commission analysed the list minutely and carefully, and also held discussions with a few Deputy Commissioners and Sub-Divisional Officers. The Commission would like to make the following recommendations on the district level committees:

The Deputy Commissioner or the Sub-Divisional Officer is the kingpin of administration at the district/sub-divisional level and hardly finds time to do justice to all the committees formed at district/sub-divisional level. Also, there is no rational basis in constituting many district and sub-divisional level committees, resulting in multiplicity of committees, duplication of work, dilution of powers and wastage of valuable time and money. For example, the following committees formed at the district level could be dispensed with, as separate law enforcing agencies exist to prevent violation of the law:

1. District level Committee to prevent power theft,
2. District level Committee to prevent illicit liquor,
3. District level Committee to prevent cruelty to animals

Such committees, instead of strengthening the law-enforcing agencies under various Acts, are likely to dilute the powers of the law-enforcing agencies. Therefore, the Commission would recommend their dissolution.

The Commission also noted that, there are as many as nine district level committees (as shown below) constituted by Health & Family Welfare Department:

1. District T.B. Control Society
2. District Leprosy Control Society
3. District Committee on National Malaria Control
4. District Level Advisory Committee on AIDS
5. District Committee on State Health & Family Welfare Society for voluntary activities (SHFWSVA)

6.	District Red Cross Society
7.	Civil Hospital Management Committee
8.	District Committee on Rehabilitation of Children with autism, etc.
9.	District level Standing Committee for renovation, improvement, and up gradation of Rural Health Institutions like PHCs, CHCs.

It is observed that the committees at serial 1 and 2 above are registered societies formed by the Government and central funds are routed through these societies. Therefore, the Commission feels that all such registered societies will have to continue.

Similarly, District Red Cross Society and Civil Hospital Management Committee would have to continue for their specific functions.

However, the Commission would like to suggest that all other committees listed above be dissolved and one district level committee on Health & Family Welfare be constituted where all matters relating to health, epidemic, sanitation, etc. may be discussed with representatives of Health & Family Welfare Department, Civic bodies and other concerned departments along with leading public representatives. As health is an important service sector, the committee may also entertain public grievances on this sector.

The Commission also noted that there are as many as five committees formed by the Education Department at the District level, as shown below:

1.	District Education Board under Sarba Siksha Abhijan
2.	District Academic Council
3.	District Committee on Scouts & Guides
4.	Navodaya Vidyalaya Samittee
5.	Committee for implementation of Mid-day Meal Scheme

The Commission would like to recommend that in view of the importance given to total literary programme and human resource development, a separate district level committee be formed for Education, Sports & Culture and Human Resource Development with representatives of concerned departments, representatives of local bodies, representatives of SC, ST, Minority and Tea tribes, where all matters relating to education, sports, culture, human resource development be discussed after abolition of above-named five committees.

The Commission observes that several district level committees were constituted earlier for selection of beneficiaries under various schemes. Some of these committees are listed below:

1. Selection of beneficiaries under various schemes like Antyodaya Anna Yojana, Annapurna Scheme & BPL
2. Committee for selection of beneficiaries under National SC Finance Corporation
3. District Level Selection Committee for ARIASP Scheme.

Selection of beneficiaries under any scheme in the rural areas should now be the responsibility of Panchayats, and, therefore, the Commission recommends dissolution of all the abovementioned committees formed for the selection of beneficiaries.

The Deputy Commissioner is also the District Collector responsible for land settlement, land management, land acquisition and requisition, revenue collection, maintenance and correction of land records in the districts. At present, there are three district level committees on land as below:

1. Land Settlement Advisory Committee
2. District Committee for Revenue Collection
3. District Committee for Computerisation of land records

The Commission recommends that one district level committee should be formed for land settlement and management, which should also look after such matters like revenue collection, correction and computerization of records, replacing the three district level committees named above.

The Commission is of the view that the District Development Committee (DDC) is a very important forum, which could be better utilized for monitoring and reviewing the implementation of on-going schemes undertaken by various departments in the district. For the DDC to be purposeful and meaningful, it should be so organized that the Deputy Commissioner has enough time to review the working of all the departments. A proper time table, department-wise, be prepared well in advance and circulated so that only the officials of the concerned departments are available for discussion at particular hour. The Commission feels that many district level committees can be dissolved and the related subject can be easily discussed in the District Level Committee meeting. Accordingly, the Commission recommends dissolution of the following district level committees.

1. District Committee on CIC
2. District Level Committee on RPRS
3. District Level Committee on MLIS
4. District Level Committee on National Green Crops
5. District Committee on Zilla Paryavaran Vahini
6. District Committee on matters related to petroleum products

7. District Level Committee for prevention of Manual Scavengersø Rehabilitation
8. Public Utility Coordination Committee
9. District Committee on abolition of Bonded Labour

The Commission also recommends that the CEO of the **Zilla Parishad** be made a member of the District Development Committee.

The Commission is of the view that there are some Committees, which are statutory in nature; these Committees shall have to function. A list of such Committees is given below:

1. Regional Transport Authority
2. Sub-Divisional Relief Committee
3. Fish Farmers Development Agency
4. District Review Committee for Joint Security
5. Airport Security Committee
6. Zilla Sainik Board
7. District Women Cell
8. District Committee on Protection of Human Rights
9. District Committee on Prevention of Child Labour

The Commission recommends that to avoid multiplication of committees in future, the concerned department should obtain prior concurrence of the Administrative Reforms & Training Department for constituting any District/Sub-Divisional level committee, involving the D.C./S.D.O.

The government may nominate non-official members to the District level/Sub-Divisional Committees from a panel of names recommended by the concerned Deputy Commissioner, keeping in view the representation of S.C., S.T., O.B.C., Minority, Tea Tribes and Women in such committees.

The D.C.s may be authorized to invite public representatives, such as Chairman, M.Bs/T.Cs, Chairman, Z.P. and a limited number of A.P. Presidents by rotation to the concluding session of the District Development Committee meeting for better interaction with the public representatives.

The District Development Committee meeting may be held in block headquarters by rotation to bring administration closer to the people.

In the Sub Divisions also, there are a large number of committees presided over by the Sub Divisional Officers which are mere replication of the district level committees. The Sub Division level committees should also be restructured in the same principles as enunciated above for the district

level committees to relieve the over-burdened Sub Divisional Officers to pay more attention to field visits and developmental works.

The Commission has recommended the aforesaid rationalization of District level Committees, taking into account the involvement of Deputy Commissioner or his nominee, but if any Department has justification for having such District level Committee, the concerned department may have such committees (for example District Academic Council) without the Deputy Commissioner or his nominee as Chairman/member.

The District level Committees should be convened with fixed agenda, and the agenda with the agenda notes should be circulated along with the notice issued for holding the meeting.

There should be proper records of all the important decisions taken in the meeting, and their follow up action should be discussed in the next meeting.

Implementation of recommendations of AARC: Reference from High Power Committee : Modalities suggested by AARC

The High Power Committee constituted by the State Government for implementation of reforms measures, requested the Commission to examine whether committees / societies set up at district level at the instance of Government of India / External Funding Agencies for implementation of specific programme / programmes are capable of handling the financial responsibility with regard to utilization / audit / expenditure control and also to examine whether proliferation of such committees has proved to be of help to the State Government.

The Commission examined this issue at length and also heard the views of Deputy Commissioners Kamrup Metro and Nagaon. Views of a few other Deputy Commissioners were also obtained.

For streamlining the functioning of the district level societies (district level committees entrusted with the responsibility of implementing programmes and handling funds are societies registered under Registration of Societies Act 1860), the Commission feels it desirable to restrict the number of such societies and recommends that there should be only one society in each sector like Health & Family Welfare, Agriculture, Education etc. Multiple agencies for implementation of similar programmes only enhance the cost of the delivery services, which should be as minimum as possible, for the benefit of beneficiaries. The Sector wise societies should be adequately strengthened to improve capability for implementation of programmes.

Over and above, Government should stipulate specific guidelines regarding functioning of these societies covering important matters like clear road map with target and time frame, accountability, methodology for implementation of the programme / programes, infra-structural support needed, book keeping for expenditures to be incurred, coupled with internal as well as statutory audit, monitoring & evaluation system etc. As engagement of Government auditors for internal audit would be time consuming and expensive, the job could be out-sourced to dependable auditors available locally.

The Commission in its recommendation regarding strengthening the role of Divisional Commissioner has suggested that the Divisional Commissioner should be involved in the district level developmental activities, for guidance, coordination, supervision, monitoring and evaluation, though he / she should not in any way inhibit the process which has been developed at the district level.

The Commission has also recommended that in view of increasing financial responsibilities of local level functionaries in the districts in respect of fund utilization, the Divisional Commissioner's office should be empowered to conduct audits and to ensure timely submission of utilization certificates. For this purpose, a fairly senior Audit Officer with a group of auditors should be posted in the Divisional Commissioner's office.

On behalf of the Government, Divisional Commissioner would be the best person to ensure that the particular society has been functioning as per the road map following the guidelines as mentioned earlier.

If a well structured system for utilization of the fund and achievement of objectives coupled with mechanism for timely monitoring and evaluation of the programme could be presented, External Funding Agency / Government of India would have no hesitation to accept such arrangement, since the very purpose of routing fund directly to societies is to ensure timely implementation of the particular programme avoiding rigid Government formalities.

Chapter XIII

õSingle-Windowö facility for investors/entrepreneurs

"Single-Window" facility for investors/entrepreneurs

The Aim:

To promote private sector investment by issuing all necessary approvals/ clearances in a time-bound manner through a single agency in the government.
Past efforts:

Earlier attempts, e.g., õUdyog Vikashö and later õUdyog Sahayakö (Industrial Policy, 1986) had limited success, the most important reasons being the following:

- Inadequate delegation of powers to the Udyog Sahayak-level officers (Directorate of Industries/AIDC) for clearing different aspects of the projects. The proposals had to be referred to the highest line authorities, and inordinate delays could not be avoided.

- A three-tier set up envisaged in the Industrial Policy, 1986, i.e., Udyog Sahayaks at (1) Directorate/AIDC level, (2) Commissioner level, and (3) State level under the Minister of Industries. This became too cumbrous, leading to disappointment amongst the investors/entrepreneurs.

Recommendations:

A high-powered Committee of Secretaries (to be named **Investment Promotion Board - IPB**) should be created on the pattern of the Government of Indiaøs Secretariat for Industrial Approvals (SIA) for medium or large industries (and significant investments in other sectors not declared as industries, e.g., tourism, etc.), leaving the Directorate/ AIDC-level Udyog Sahayak for the SSI/tiny sector.

The IPB should be constituted as follows:

Chairman: Chief Secretary (the Additional Chief Secretary will preside in the absence of the CS)

Members: Highest-level secretary (Principal Secretary/ Commissioner and Secretary/Secretary) of the following departments:

a. Finance

b. Power, along with the Chairman, ASEB
c. Revenue
d. The controlling department for the Pollution Control Board, along with the Chairman, Pollution Control Board
e. Industry and Commerce (Member-Secretary)

Any other departmental secretary may be invited to the IPB meeting, if a subject relates to that department.

The Member-Secretary will receive and process the applications for investment, and after processing, will place them before the IPB within a fortnight.

The IPB would meet at least once a fortnight.

The Member-Secretary will circulate the agenda and agenda notes for the meeting at least seven days in advance.

The IPB will discuss the proposals, and may invite the applicants for a face-to-face discussion.

The Member-Secretary will submit the minutes of the IPB meetings to the Chief Minister through the Minister of Industry and Commerce for approval.

Upon receiving approval of the CM, the Member-Secretary will intimate the concerned departments for necessary action within a fixed time frame.

The IPB will also monitor the functioning of the Directorate/AIDC-level Udyog Sahayak and give necessary directions to expedite any pending matter within a fixed time frame.

The õsingle-windowö facility created in this manner will generate confidence among the investors/ entrepreneurs and also expedite implementation of the projects for the benefit of Assam.

Chapter XIV

Mechanisms for Monitoring and
Coordinating Self-Employment Opportunities in the State

Mechanisms for Monitoring and
Coordinating Self-Employment Opportunities in the State

Self-employment, even though a private activity, is significantly mediated through the intervention of the state via several policies, programmes, schemes, etc. A number of departments within the Government of Assam have such mechanisms for facilitating creation and promotion of opportunities and avenues for self-employment. Major departments having such programmes and schemes include:

- Panchayat and Rural Development
- Information Technology
- Industries and Commerce
- Fishery
- Handloom, Textiles & Sericulture
- Agriculture
- Veterinary & Animal Husbandry
- Transport
- Tourism
- Cultural Affairs
- Co-operation
- Excise
- Mines & Minerals
- All technical Works Departments

For monitoring and coordinating self employment opportunities available with different Government departments the Assam Administrative Reforms Commission recommends that the following actions should be taken on priority basis:

- All the above mentioned departments should be asked to immediately identify the programmes & schemes under which there is scope of generating direct self-employment.
- For each such programme, the departments should identify and quantify self-employment opportunities scheme-wise and district-wise including the currently existing opportunities, the potential that can be realized in the short term (within three to six months, at best one year), medium term (within one year to three years) and long term.
- As per the above data (for current, short-term and medium-term opportunities) and projections (for long term opportunities), each department should develop scheme-wise and district-wise **Action Plan** as per the respective scheme guidelines indicating the time

frame and proper quantification for realization of the above mentioned scope and potential for self-employment opportunities.

- The Deputy Commissioners of the Districts should take up self-employment activities in a **mission mode**, because routine, stereotyped approach may not give desired results.

- Each district should set scheme-wise targets based on realistic assessments of the **core competencies** of the district, since local areas may have some special potential for generating self-employment.

- In each district, focus should be on **convergence** of self-employment activities under various schemes of different departments so as to create synergy and avoid unnecessary duplication.

- A **Monitoring Cell** should be created preferably in the Chief Minister's Secretariat or alternatively in the Planning & Development Department to monitor and co-ordinate all the above-mentioned activities of these departments. This Cell should be headed by a Director not below the rank of Addl./Joint Secretary and should be staffed with a few computer-literate personnel including at least one duly qualified statistician.

- Personnel for the Monitoring Cell may be available from the Directorate of Economics & Statistics or from amongst the Research Officers in the Planning & Development Department. It would be preferable if both computer literacy and knowledge of economics/statistics could be combined in the same individual for staffing this Cell. In this regard, the Commission recommends that the existing infrastructure/ personnel from the Directorate of Manpower Planning as well as the Directorate of Evaluation & Monitoring should also be suitably utilized, since the Commission, on examination, found that the workload of these two Directorates is very light at present.

- The monitoring done by this Cell should be for the **'on-going' Schemes/ Projects** on a continuous basis so that any constraints/ shortcomings found in implementation could be addressed immediately.

- A computerized, comprehensive **database** should be created on self-employment potential, employment generated, scheme-wise targets and results, and other relevant information for effective monitoring and coordination of self-employment activities. This database should be maintained and regularly updated by the Monitoring Cell.

- The Monitoring Cell should keep the Hon'ble Chief Minister informed through a duly developed **reporting** format about the progress of the implementation of Schemes/Projects on a monthly basis. This could be done through a computer-based, properly

developed **Executive Information System** (EIS). Similarly, monthly reports should also be submitted to the Ministers-in-charge of concerned departments every month.

- A State Level **Self-Employment Review Committee** (**SERC**) should be formed with the Chief Secretary or one of the Additional Chief Secretaries as the Chairman, the senior-most Secretaries of all the above mentioned departments as Members and the Director in charge of the Monitoring Cell as the Member-Convener. This Committee should meet every month (or at least once a quarter) to review the progress achieved by each relevant department, to co-ordinate inter-departmental activities and to offer guidance and directions to those departments.

- The guidance and directions of the SERC should be duly communicated to the field level functionaries by the respective departments, who will monitor the progress of their own departments and take necessary steps as and when necessary.

- Each of the above mentioned departments should report progress of their respective departments, scheme-wise and district-wise, invariably every month to the Monitoring Cell. The Monitoring Cell should design and device a standard monitoring proforma for collecting information from the field through the departments, and for inputting the same into the computer for generating reports for periodic review and feed back to all concerned.

- **As a long term measure**, the Assam Administrative Reforms Commission recommends that the **Directorate of Employment & Craftsmen Training** should be completely re-oriented towards monitoring and coordinating self-employment opportunities across all relevant departments at all levels in the state including the district level and below.

- The officers and staff of the Directorate of Employment & Craftsmen Training should be re-trained, re-oriented and re-assigned for this new kind of work. Their job charts and key performance areas should also be recast accordingly. Suitable training modules should be developed for this purpose by the Assam Administrative Staff College, if necessary, with the help of outside consultants/ external agencies.

- The **Craftsmen Training part** of the Directorate of Employment & Craftsmen Training should be de-linked from the Directorate and this part along with management of ITIs should be **transferred to the Directorate of Technical Education.** The Director of Technical Education should also be responsible for promoting training in different vocational trades.

- In reviewing the functioning of the Directorate of Employment & Craftsmen Training, the Assam Administrative Reforms Commission has come to the inference that their traditional role in maintaining the registers of the unemployed at various levels has only a minor significance in today's situation. As a result, the staff have enough spare time, which can be utilized meaningfully in the new kind of work as indicated above, provided proper training and guidance is given to them. The purpose is to re-orient the Employment Exchanges as **centers for promoting self-employment** across the state.

- In their re-oriented role, the Employment Exchanges should function as **Single-Window mechanisms** for information dissemination and counseling of the unemployed about self-employment opportunities as well as for coordination of such activities across the departments in their defined geographic jurisdictions like block, district, etc.

- Employment Exchanges should also be geared up to function as "**Placement Centres**" for catering to the human resource requirement of private sector including foreign employers.

Chapter XV

Abolition of Schemes that are redundant and have not achieved the required objectives and merger of schemes that are similar in content

Abolition of Schemes that are redundant and have not achieved the required objectives and merger of schemes that are similar in content

The Commission requested all the Government Departments to furnish information relating to Departmental schemes, which became redundant and did not achieve the required objectives. Departments were also requested to suggest merger of schemes that were similar in content. Commission detailed two senior officials of Directorate of Financial Inspection, Government of Assam to collect the information in a prescribed proforma**.**

Most of the Departments except the Departments of Irrigation and Water Resources informed the Commission that they did not have any incomplete scheme, which could be abandoned or merged. Irrigation and Water Resources Departments furnished lists of such schemes. On examination of the schemes, the Commission found that substantial amount were spent in the obsolete schemes and most of the schemes had to be abandoned owing to technical flaw which is really a matter of regret. Before taking up any scheme the Commission feels that proper technical feasibility should be examined by competent officials and preliminary hurdles should be removed before spending the allotted fund. There should be detailed job chart for the officials implementing the scheme stipulating **Key Performance Areas** and they should be held responsible for subsequent failure of the scheme.

Though all the concerned Departments except the above two indicated that they did not have such incomplete and obsolete scheme; the Commission has good reasons to believe that there must be such schemes in almost all the works departments as well as departments implementing large number of schemes with State Government fund or fund received from Central Government. Therefore, it is desirable that there should be a thorough scrutiny of all such Departments by a Government Agency to find out the actual state of affairs to prevent unnecessary expenditure from the Public Exchequer.

Chapter XVI

Notes

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Highlights of Good Governance

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Accountable and Responsive Administration in Assam

III
Capacity Building for Administrative
and Civil Service Reforms

IV
Civil Service Reforms in the State of Assam

V
District Administration

(a) Prime Minister's Address to District Collectors, May 20, 2005

(b) Presentation made before the Commission by Deputy Commissioner, Kamrup (Metro)

Note I : Highlights of Good Governance

Governance & Good Governance

"Governance is the manner in which power is exercised in the management of a country's economic & social resources for development. Good Governance is synonymous with sound development management."

World Bank and Asian Development Bank

"The term governance, as generally used encompasses all aspects of the way a country is governed. ………………poor governance is clearly detrimental to economic activity and welfare"

IMF

"Open democratic and accountable systems of governance, based on respect for human rights and rule of law, are precondition for sustainable development and robust growth."

G8 Final Communiqué

"Good Governance is perhaps the single most important factor in ensuring that the objectives of the Tenth Plan are achieved"

Tenth Five Year Plan Document

Accountability of the Civil Service:

- Formulate meaningful and pragmatic Mission statement for each Government Department
- Frame well defined job chart for each and every official along with modalities of delegation of power to lower level functionaries.
- Ensure that delegated powers are exercised
- Reduce levels in the hierarchy, make administration officer-oriented with indication of KPA for each officer so that responsibility can be fixed on an individual
- Instead of post-audit, concurrent audit must be introduced.
- Audit should focus more on the output of a scheme, rather than on processes.
- Citizens charters must be introduced for critical items for all departments in a time bound manner and head of the office must be made accountable for proper implementation of citizenøs charters.

Redefining Functional Goals:

- The civil service must shift focus from being a provider and regulator to that of a facilitator
- Functional audit must be conducted for every department.
- Organizational review should also take place for every department.
- Government should immediately outsource certain activities.
- All staff in the department must be trained on priority so that they know the purpose of their jobs in meeting their departmentsø goals and objectives.
- Merger of schemes that are similar in nature.
- Abolition of schemes that have outlived their utility.

Improving Systems and Work Methods:

- The paper work in government offices should be reduced by abolishing all unnecessary reports and returns, reducing number of circulars.
- The existing system of file movement needs to be thoroughly revamped. Gradually files may have to be replaced by floppies. Until such time, file movement can be monitored on computers.
- The introduction of desk officer system, which has been explained in detail in the chapter on Secretariat Reforms, must be done at the earliest. This would be the first and the most important step to improving systems and work methods in the secretariat.
- All field officers should also follow a similar pattern and reduce file movements to only three or maximum of four levels.

- The number of meetings both at the secretariat and at the field levels must be reduced. This would give more time to officers to go on tour and make inspection where necessary.
- The greater delegation of powers and exercise of delegated powers would ensure that there is much less paper work and less time spent in getting approvals from various levels.
- A lot of extra work is generated in the government because there is inadequate information sharing between the departments. Several other departments also require the information collected by one department in one form. If all departments would put such information databases on the LAN or e-mail it to other secretaries, it may be very useful to them in their policy formulation.
- Apart from reducing the number of forms, each department should also look at the size of the forms. There should be an attempt to simply the forms and returns being used in the government.

Rationalisation of Civil Services:

- In several departments the officers are more than the frontline staff. There is a need to rationalize this distribution and have more workers for service delivery, at field level.

- The location of staff and employees in several departments is skewed. Most of the officers are located in the Capital or in District Headquarters while the need is to have officers at actual implementation/cutting edge level.
- There are several employees to carry out the same task for different departments like in the case of grant of scholarships. If one or two employees could be utilized for this purpose, it would reduce the number of employees required for this purpose.
- Changing the manner of Government functioning by the introduction of Desk Officer, would reduce delays, bring in efficiency and also help in reduction of number of employees.
- Employees are very often recruited at the launch of a new scheme or programme. Merger of similar schemes/programmes would render some staff as surplus who could be redeployed where there is actually work.
- Every department must make a scientific assessment of the total number of direct recruitment vacancies available based on the above principles and only then should the department proceed for filling up the vacancies.
- Utilizing the direct recruitment vacancies for recruitment by promotion would in the long run affect the efficiency of the government.

- For new work entrusted to a department, new sections and posts must not be created, but the work should be entrusted to existing staff.
- Computerization must be introduced in a time-bound manner in all departments so that less people would be recruited for the same work.
- Only computer literate person should be recruited for all categories of post.

Review of Performance Appraisal:

- There should be a different format of Performance Appraisal Reports for officers and staff. For officers, quarterly Participating Assessment and for staff annual Participating assessment should be introduced.
- All levels of officers who have to undertake performance appraisal must be given proper training in how to do the job objectively.
- Counseling may be introduced to those employees who get repeated adverse remarks.
- Action should also be taken against those officers who delay in writing the Performance Appraisal Reports where they are either reporting, reviewing or accepting authorities.
- Performance Appraisal Reports, which are to be approved by the concerned departmental Ministers sometimes, are delayed for several months. A time frame should be fixed for approval of such reports.

Human Resource Development Strategy:

- All training must be made compulsory.
- Employees/officers who do not attend training should not be eligible for increment or promotion.
- Allot higher funds for training.
- Each department must have specified budget for training not just for the technical staff but for all the staff in the department.
- Training should not only include exposure of government employees to departmental practices, work methods, technical skills of a particular department; but must also expose them to personality development, stress and time management, communication skills etc.
- Government employees must be exposed to work in the private sector and they must be taken on field visits.
- Some relationship should be established between the career plan of an employee and the training imparted.

- Employees due for retirement in the next three years need not be deputed for any training, specially training overseas.
- Training on awareness skills must also be given to class IV employees and drivers.
- There should be an annual calendar of training which must be well publicized, and strictly followed.
- In addition to the Training Institutes of the Government, efforts should be made to identify other good training institutions.

Transparency and the Right to Information:

- Amendments be made to the Official Secrets Act and the Civil Services Code of Conduct Rules
- Discretionary powers must be reduced to the minimum, and exercising Discretionary Powers must be transparent.
- Regulatory Authorities should be set up for all public utilities.
- Public should have easy access to government orders, forms etc. They should be made available locally in the post offices, banks, local
- panchayat offices, Block offices, Circle offices fair-price shops etc., besides putting the same in the district website.
- Public Facilitation Centres should be set up in all offices.
- WAN and LAN should be set up at the earliest to enable easy sharing of information within departments and between departments and speedy disposal of grievances.
- Existing rules and procedures should be simplified to make them citizen friendly.
- Each department, especially those with constant public interface, must bring out a compendium of all their relevant forms which the public have to use, so that all the forms are available at a single place. There must be wide dissemination of such information.
- The rules to the Right to Information Act must be framed as expeditiously as possible.
- Delegation of financial power should be on the basis of current prices, and must be reviewed every three years.
- Must have concurrent audit rather than post audit.
- Renewal period for licenses etc. be enhanced, this would reduce transactional cost.

Recruitment:

- Recruitment for all posts must be only meritocratic.
- Selection of APSC Members must be done as recommended by the T.L.Barua Commission.

- Revise cadre and recruitment rules for all departments to have merit based recruitment, and modify qualifications for certain posts.
- Recruitment for certain posts could be on contract basis (peons, drivers)
- Compassionate appointment to be restricted to families of deceased police personnel and insurgency/riot victims.

Transfers:

- Government should enact a legislation on transfers, with clear cut guidelines.
- Action should be taken against those employees who request for transfers based on third party recommendations.
- Employees such as teachers, village mandals, ANMs need not be transferred except under exceptional circumstances.

Departmental Enquiries:

- Relevant rules of departmental enquiries should be amended to provide for a specific mandatory time frame and to reduce discretionary powers.
- It is also necessary to amend the relevant Service Rules to enable the review of integrity and efficiency of officials at any stage during their career and to compulsorily retirement of such officials of doubtful integrity.
- There has to be stricter and compulsory monitoring of the progress of all departmental enquiry cases by the Secretary. This should not be treated as a routine exercise and must be included as an item of review in the monthly Departmental meetings chaired by the Secretaries.
- It is preferable that all departmental enquiries are entrusted to retired government officials on a conditionality that non-completion of the enquiry proceedings as per prescribed time frame would result in non-payment of emoluments.

Redressal of Grievances:

- Fix responsibility for each task, which is possible if the hierarchical levels are reduced.
- Appoint grievance redressal officer for each department and accordingly give publicity.

- Change the language of various application forms to make them citizen friendly.
- Train officials in grievance redressal, courtesy in talking to petitioners.
- All grievances must be computerized.

Amalgamation of Schemes:

- Schemes with nominal budget provisions to be merged.
- Schemes which are continuing for the purpose of providing salaries to employees to be abolished.
- Similar schemes to be merged.
- Schemes with less than Rs.5.00 lakh allocation to be merged/discontinued.

Note II

Accountable and Responsive Administration in Assam

Accountable and Responsive Administration in Assam

Government of Assam has declared its intention to ensure an effective, accountable, honest and transparent administration. This will support the objective of responsive and decentralized service delivery and livelihood support for poor and marginal groups.

There is considerable dissatisfaction of the people, especially poor and vulnerable groups, about the apathy, lack of responsiveness, lack of accountability of public servants and the deterioration in performance of agencies entrusted with law and order, basic services and infrastructure. The time has come for a strong message to be conveyed that administration is for the people and not for the public servants so that efficiency is measured not in terms of what the services purport to offer, but in terms of public satisfaction. Necessary corrective steps have to be taken to arrest the present drift in government and public services and take urgent measures to restore the faith of the people in the fairness and capacity of administration.

Government of Assam have been initiating reforms measures for :

- Making administration accountable and citizen friendly,
- Ensuring transparency and right to information, and
- Taking measures to cleanse and motivate civil services.

By its very nature, structural and regulatory reform is a medium term effort, which calls for sustained support of political leadership and senior bureaucracy. It needs be accompanied by a series of well-monitored short-term actions to improve the quality of administration and make reforms meaningful to the people.

The average citizen deals with the government in its different roles as the service provider, regulator, enforcing authority for law and facilitator of economic activity. In the light of the action plan formulated by the Conference of Chief Ministers in 1997 and the experience of other states, the initiatives for improving the quality of administration and developing a responsive interface with people would include:

- Formulating and operationalizing **Citizens' Charters**, which lay down time limits and standards of services, avenues of prompt grievance redress and access to information and credible monitoring arrangements; and piloting the Charters and establishment of Model offices in selected departments with citizen interface like Deputy Commissioner, Anchal Panchayat, Police Stations, Government

Hospital, Treasury and Transport Office, based on interaction with users;

- Effective and Prompt **Redress of Public Grievances**, following review of existing arrangements and instituting measures for computerized tracking, fixation of responsibility and remedies for performance failure, systemic reforms and effective working of information and facilitation counters in public offices;

- Functional autonomy both to the administrative functionaries and service agencies at divisional and district level, empowerment of elected local bodies and encouragement to public-private partnerships;

- Redesigning the service delivery schemes, ensuring user involvement, reward innovation by officers and to take administration to the people in rural and urban areas

- Review of laws, regulations and procedures, especially those which hamper business activity and the access of poor and marginal groups to livelihood, services and swift and inexpensive justice

- Effective and timely ongoing system for monitoring and evaluation of delivery system run by government, government agencies, private and NGOs with bench marking facility to assess the quality of inputs, services, and timeliness of service delivery.

Transparency and Right to Information:

Secrecy and lack of openness in official transactions generate scope for corruption besides being contrary to the spirit of accountable government. There is a need to ensure easy and widespread access of people to government operations and government decisions and performance of government except to the extent of specifically excluded by law, as envisaged in the Central and state laws for right to information. Electronic governance is seen as not only contributing to greater efficiency of government but also the transparency of its operations and people's empowerment. Three specific measures envisaged in this area are:

- Early operationalization of the state legislation on Right to Information by department-level instructions on suo moto release of information and response to requests for information, effective record management, amendment to laws and rules contrary to the information law and training of information officers;

- Strengthening the functioning of Information and Facilitation Counters and Community Information Centres through process reengineering, computer facilities, connectivity by LAN and WAN and empowerment of counter staff, and

- Piloting process engineering and electronic governance in areas critical for government working and major areas of service delivery such as treasury, employee database, decision making, revenue collection and payment, land records and citizen interface with government including redressal of citizenøs grievances.

Improving the Performance and Integrity of Public Services:

A detailed plan for manpower containment, civil service reform and review of regulations should be drawn up after taking into account the recommendations of AARC, views of different departments, Reports of the Hota Committee, Surindernath Committee of Government of India and best practices in other States. The reform areas include secretarial procedures and manuals, recruitment, performance assessment and recognition of good performance, capacity building, promotion, transfer, disciplinary proceedings and weeding out inefficient and dishonest employees. An important area, stressed by the Central Government, is the need to ensure stability of tenure to officials and to insulate the process from extraneous factors, as frequent transfers affect both the motivation of officials and the quality of service delivery.

The diagnosis and fight against corruption includes the review of procurement practices, greater transparency and a variety of reforms in specific areas and sectors with anti-corruption impact. It is possible to consider the adoption of a code of ethics for public services based on Constitutional principles and services to people. Government should immediately review existing vigilance mechanisms including the role and authority of the Vigilance Commissioner and the Lok Ayuktha and consider specific steps for strengthening these institutions, working in concert with the Anti-corruption branch and department-level Chief Vigilance Officers.

Note III

Capacity Building for Administrative
and
Civil Service Reforms

Capacity Building for Administrative and Civil Service Reform

Civil Service Reform is an important key component for good governance since ability of the Government of Assam to address fiscal reforms and improve the cost effectiveness and equity of service delivery is critically linked with the pace of achieving civil service reform. The Assam Administrative Reforms Commission has now completed the functional review exercises of the select departments conditioned by the information available, and its study for rationalization of civil service rules, structured and restructuring of the government departments.

Government of Assam may consider organising series of structured workshops to initiate the implementation of the recommendations made on the basis of functional study for capacity building in the key departments. This is absolutely necessary to carry forward the reform agenda.

The objectives of the workshop, in the above context would be:

- To involve the counterpart staff staffing in the holistic appreciation of the issues in administrative and civil service reform with reference to the Action Plan on staff Containment and Civil Service Reform, and the decisions on e-governance and employee database.

- To deliberate on the observations, conclusions and recommendations of AARC and make efforts to identify problems and explore solutions for smooth implementation of the reforms programme.

- To build consensus on ―Change-Action Agendaø and to work out the sequence of actions starting with the most feasible in each department and in finance and personnel areas.

- To familiarize the participants with various techniques and tools for establishment control and functional review.

- To identify capacity building needs at Secretariat, Directorate and District levels for implementation of the reform programme.

The ADB Project on Governance and Public Resource Management provided a tentative indication of training budget for capacity building to implement the Policy Matrix. ADB had indicated a lump sum provision of $3.7 million for training activities. ADB has further outlined the following parameters for the training.

The training should target to cover 9500 State Government staff of which the District Disbursing Officers should be completed on priority basis by December 2007 to ensure effective targeting and ensuring sustainability of training efforts. The training activities under the project would require close coordination with Administrative Reforms Commission and the Administrative Reforms & Training Department.

:   The training activity should be clearly linked to supporting the implementation of the actions and achievements summarized in the programme loan policy matrix and/or for **Implementation Government Financial Management Information System** (IGFMIS).

:   The training activity will be targeted to State Government staff in positions that support the functions directly related to the implementation of the actions and achievements summarized in the programme loan policy matrix and/or to implementation of the IGFMIS.

:   Sustainability of training efforts will be a key factor in the design of all training, i.e., optimal use of training of the trainers approaches and local or State Government training institutions.

:   Training requirements are fully coordinated with other State Government training efforts to enable improved overall impact and coverage of State Government training activities and to avoid duplication of efforts.

The Aide Memoir signed by Mission Leader of the Asian Development Bank dated 18-12-04, has detailed the methodology in this regard.

The training programmes envisaged above should be made on the basis of Training Need Assessment, curriculum development training materials and upgrading training infrastructure.

Record Note of Discussion on Reforms and Capacity Building

A meeting was held on February 11, 2005, under the chairmanship of Shri Jatin Hazarika, Chairman AARC, to discuss the action plan for administrative reforms and the formulation of training plan under the ADB project Loan. The following attended the meeting:

1. Mr. Sameer Khare, Commissioner and Secretary, AR&T
2. Mr. Ashish Bhutani, Secretary (FMU), Finance Department
3. Mr. Deepak Sharma, Joint Secretary, Personnel Department
4. Dr. Pachampet Sundaram, Consultant ADB

Administrative Reforms:

The recommendations contained in the Consultant's note on Next Steps for Administrative Reform were generally endorsed. The following areas were decided for further action at the level of AARC and the departments of Finance, AR&T and personnel and different sector departments.

i. AR&T would pursue all the departments to formulate and publish organizational and job charts as lack of clarity in functions of departments and agencies and individual jobs affected effective and transparent administration. Professional help can be extended for this purpose to departments upon request as this was a vital preliminary step for capacity building;

ii. All the departments would be requested to set up web sites, if necessary with professional help, and provide updated information and facility for transactions by clients;

iii. AARC would carry forward the exercise for functional reviews, zero-based functional audit and public expenditure tracking surveys for key departments and agencies as envisaged in the ADB policy matrix;

iv. AR&T would pursue proposals with finance department for strengthening AARC and AR&T through professional help as envisaged in the consultant's report, and propose allocation from the training budget for this purpose;

v. AR&T would coordinate departmental plans for developing computer literacy and advanced functional skills, which would be implemented through NIC and other agencies and funded partly through the ADB training budget;

vi. Finance department would issue comprehensive guidelines regarding the identification and filling of critical vacancies, revised approach to regularization of work-charged and muster

roll staff and redeployment of surplus staff in different departments;

vii. Individual departments would work out manpower plans based on the establishment schedule and assessment of optimum size and distribution of staff levels and submit the plans to SLEC;

viii. Personnel department would equip itself for supporting SLEC, cadre reviews of ACS and other services, implementing transfer policy, rationalizing recruitment procedures and the simplification of rules;

ix. AR&T would pursue the revision of manuals and rules for performance assessment and the rationalization of functions under Rules of Executive Business and publicity to revised rules;

x. Finance department would evaluate the pilot exercises on employee database for finance and personnel departments and expand the exercise to all departments by April 2005

Training and Capacity Building:

i. While finance department would finalise the proposals for the officers in the department and services coming under it, AR&T would coordinate the effort to obtain the proposals from identified departments and training agencies and develop an integrated proposal with guidance from Chairman AARC;

ii. An empowered group of Chairman AARC, Commissioner AR&T and Secretary FMU could be authorized to select the departments and finalise the training plans and budget with due regard to current initiatives and the goals of the ADB policy matrix under ten subject heads;

iii. The group would take note of proposals for strengthening AASC, CTI and sector training agencies and the counterpart actions such as filling training-related vacancies, non-Plan budget for training and amending service rules to mandate training before promotion;

iv. The departments for the first phase could include Finance, Personnel, Secretariat Administration, Health (other than family welfare), Education (excluding elementary teachers but including the education service and staff), Department of Public Enterprises, Industry, PWD, Irrigation, Sales Tax and Tax Administration and Urban Development (especially property tax, valuation and user charges), but a final selection and inter-se priority will be made by the empowered group;

v. AR&T would consolidate the information on available training funds from different sources and the inventory of ongoing activities in the course of interaction with departments;

vi. AASC would assist the individual departments in conducting TNA and train the trainers but departments should assume full responsibility for designating training managers and ensuring effective implementation of the training plan with professional help under the budget;

vii. Besides focused training for the IFMIS and treasury, the budget for the first phase would include the Innovation Support Fund, strengthening of key agencies and the training proposals developed by AASC, CTI, Department of Public Enterprises and sector departments, covering TNA, training plan, study tours, training material, functional manuals, documentation of good practices, faculty and trainer development, training in IT and critical gaps in infrastructure;

viii. Study tours within or outside the country should be properly structured, based on the study of areas of real utility to individual departments;

ix. A significant portion of the training budget would be devoted to critical supporting elements of the training activity, such as TNA and training design, curriculum development, training materials, preparation of functional manuals, revision of rules, faculty development and decentralized training based on training of trainers and distance learning;

x. ADB would be requested to earmark funds from the budget for strengthening AARC, AR&T and FMU and for setting up a flexibly administered Innovation Support Fund for meeting small financing needs for areas like documentation of good practices, organisational charts and process reengineering;

xi. FMU would coordinate with AR&T for the formulation of proposals to be included in the first phase of the training budget under the Project Loan and communicate the requirement to ADB under this head for the year 2005-06;

xii. ADB would be requested to consider the sanction of the first phase of the training budget for 2005-06 without waiting for the full elaboration of the training budget under the Project Loan;

Note IV

Civil Service Reforms in the State of Assam
(A CONCEPT PAPER)

Developed by M. Ariz Ahammed, IAS Director of Training
Assam Administrative Staff College in October 2002

Civil Service Reforms in the State of Assam

1. Background

There is a growing gap between the stated and unstated objectives of government. In this regard both the public and the media have been voicing that the bureaucracy has become insensitive and even hostile to the poorer sections of the society with the obsession of rules rather than concern for output; characterized below the expectations. Added to that there is a feeling that there has been an increase in leakages and alienation. Nevertheless it is a fact that there is an erosion of trust on the system. On the other side the civil servants are feeling alienated from the Government with their service conditions, career opportunities and job satisfaction and is conspicuous with the pending of a large number of cases in tribunals and courts for promotions and postings. The results of this scenario are evident with poor human and socio-economic indicators of the nation in general and of the state in particular.

The scenario under the changed environment of globalisation, technological change and decentralization requires committed civil service to take a leap and harness the change, which requires an enabling environment, better service conditions for job satisfaction, expertise and skills for managing change. Hence there is a need to bring in suitable reforms for effective and efficient delivery of programmes, schemes, projects and services to the customers. Reforms-yes! There are many diagnostic studies, reports and recommendations but lack a mechanism to convert such recommendations into action plans and results.

Assam Scenario:

The Assam state is one of the very important Northeastern states of India bordering Bangladesh, Bhutan and is very close to the doors of South East Asian Countries. The Assam State ranks among the top five states in its development indicators till 60∅s. However for various reasons the socio- economic development indicators have slided down over the years drastically leaving Assam as one of the most backward states with very poor Human Development Indicators in the country.

The present Government is committed to re-win the past glory of better human-socio-economic indicators with renewed vigor and partnership with the public and civil servants under a vision. The Vision of the state in the Millennium is providing *"every Man, Woman and Child all opportunities for healthy and happy life not just on basic needs and*

Elimination of Poverty" and *"to build a knowledgeable society on the values of hard work, integrity, honesty, secularism, discipline and team work".* The state Government plans to turn the vision into a reality through **Good Governance** where-in State's scarce resources are managed competently in manner that is open, transparent, accountable, equitable and responsive to Peoples needs i.e., **Reduction of Poverty and Sustainable Development.**

The Government has been taking a number of good governance reforms and initiatives viz., taking the government to peoples door steps in a campaign mode, emphasis on transparency and accountability in day to day administration, decentralization of powers to local bodies. However the past high fiscal deficits continue to haunt the state compelling the state to embark upon a Structural Adjustment Programme.

Currently the Challenges before the Government are improving the poor human development indicators, furthering of democratic decentralization, harnessing the globalisation and technological revolution; facing the market economy and achieving the sustainable fiscal consolidation. In this endeavor the Government can't be successful in its task unless enabling environment is created and capacity of its instruments i.e., Civil Service are improved for new tasks and environment. The State Government is therefore according very high priority to the reforms in Civil Services for Good governance: to improve the human- socio economic indicators of Health, Education, Social Welfare, Infrastructure and economic sectors.

The Government of Assam has already constituted a number of committees and an Administrative Reforms Commission to study the various critical issues affecting the state- Civil Services and Good Governance and to make appropriate recommendations. This requires proper follow up and expertise to manage change. It is presumed that the implementation of these recommendations will require adequate investment in managing change and in the capacity building of civil services. However given its limited resources it is doubtful of achieving reforms and the ambition of Good Governance for the required skills in near future. **The Government of Assam is therefore keen in the partnership of both the GOI and the International Development Agency (IDA) to bring in civil service reforms for Good governance. Already a similar concept is under implementation in the state of Andhra pradesh.**

2. **Project Description:**
    (a) Core Concept:

To set up and institutionalizing a Think Tank by way of Setting up of a õCentre for good governanceö to translate the various studies/ recommendations including of the Cabinet for performance improvement into clear action plans, to support implementation of reform and to provide effective change management interventions to achieve Government Goals and policy priorities.

Besides, the aim of the project is to bring in the suitable reforms in the civil services and systems so that the systems can materialize the vision of the state. An illustrative list of issues for reforms is:

1. Simplifying the Government- the rules and the procedure, re-engineering of business process, single window systems, e-governance etc so to improve the delivery and quality of service at least cost.
2. Human Resource Management viz., Capacity Building, Right sizing of the Government, Manpower planning and outsourcing.
3. Accountable Government viz., Adequate Autonomy and Accountability (Organizational and Individual) in the system, Effective Vigilance System, Transparency etc.
4. Citizen perspective / orientation; Decentralization and Participatory approach involving the stakeholders/users
5. Incorporation of a System of performance Appraisal in the system
6. Financial Management and consolidation
7. Strengthening of civil services on various critical issues viz., Developing healthy Organizational behavior and efficiency; Shared vision for the Future and nurturing innovations; developing team spirit and partnership; enhancing Work Culture and conflict in the stated and unstated agenda of the leadership style; Better Time management: more on constructive works than on ad hoc works
8. Strengthening the Department of Administrative Reforms
9. Building Government Management of Information System

(b) Objectives

- First priority is to translate the recommendations of the Assam Administrative Reforms Commission and other reports/ studies of importance having direct bearing on the Human Development in the state into action plans in a collaborative and participative exercise with the line Departments and to over see their implementation ; and then:

- To work for the development of the finest, best, skilled, most responsive and most professional citizen oriented civil service in the state by pursuing civil service reforms.
- To work for translating Government goals, objectives and policy priorities into tangible reform actions in the areas of governance;
- To identify core issues and areas for change which will make the most impact in improving the performance of Government and enable it better to respond to the needs of its customers;
- To work with Government functionaries and other stakeholders to analyse key issues in governance, identify solutions, to plan actions and to support implementations of administrative reform;
- To identify and codify best practice in administrative reform and to support its wider implementation.

(c) Rationale:

In the state of Assam the Civil Services comprises of around 450,000 civil servants of five different grades viz.,

Grade	Services
All India Services	All India Services: Indian Administrative Services (IAS) who are around 123 are recruited by the Union public Service Commission
Grade-I	Assam Civil Services (ACS), Assam police Services and other services viz., Commercial taxes, cooperation, excise etc are recruited by the Assam public Service Commission
Grade-II	BDO,Ext.Officers, Junior Engineers, Inspectors etc.
Grade-III	School teachers, Stenos, UDA,LDA etc.
Grade-V	Peons/Attendants

The success of Government priorities viz., policies, Schemes, Programmes largely depends upon the efficiency and effectiveness of the people i.e., Civil Servants manning in delivering the services. The higher civil service provides the crucial role of advice to the political executive on policy matters. The Civil Service is the cutting edge of the Government and people in service delivery and are critical in successfully implementing the policy matters and monitoring the same.

In Assam the Chief Secretary heads each department. In the Districts the Deputy Commissioner(IAS or ACS) provides leadership to the District civil service.

Situation analysis of the human- socio- economic indicators of the state, fiscal position, Civil service institutions, Constitutional mandate of Decentralization and new economic and information environment reveals that civil service of the state- the instruments of Government initiatives; urgently requires adequate expertise to meet the tasks and change. It is also observed that currently the Government departments are bogged down with the routine matters and are finding it extremely difficult to concentrate on policy issues with citizen focus both because of scarce time and expertise. So is the rationale for a think tank organization- Centre for Good Governance. Besides the project is aimed.

i. To enable the civil servants to identify themselves with the tasks set as per the Govt. Mission.

Human-Socio-economic Indicators of the state.

Indicator	Assam	India
Literacy(2001 census)	64.28	65.38
Life Expectancy (at birth)	56.6y	61.1y
Birth rate(000)	27.0	26.1
Death rate	9.7	8.7
Infant Mortality rate(000)	76	70.8
Maternal Mortality rate	409/1 lac	407
Per Capita Net State Domestic product	9612	10067
Population below poverty	40.86	35.97
Per Capita Consumption of Electricity KWH	123.00	360

The above indicators show the weaknesses of the system in materializing the policies, priorities, intentions, schemes of the nation and the state over the last five decades of independent India. Besides all in public perception the government services have become inadequate, costly, delayed and inefficient resulting in the alienation from the public and creation of barriers for Government- public partnership, which is very essential for any Good governance initiatives.

ii **To harness the New Environment:** India has been a welfare state with the grater role and control of public sector in every sphere of life. However with the accumulating fiscal deficits and the changing global economy, India too joined the structural adjustment programme for

market oriented liberalized economy wherein the Government is taking the role of facilitator in place of controller. Added to all, there is a greater pressure on the /user. The Civil Servants need to be tuned to the changes in the work environment and economic changes. The country's experience with the structural adjustment programme and public sector reforms conspicuously makes a point that unless the instruments of reforms i.e. Civil services are reformed and are provided with expertise the structural adjustment programs cannot be successful.

In addition the civil services and the system are required to be in pace with and harness the 73rd and 74th Constitutional amendments emphasizing the decentralization of powers and the changing Political environment and judicial activism.

It is also increasingly established that the information and communication technology has the potential of making the Government responsive, efficient and effective. This clearly makes a point that there is a need for the Government systems to harness the technology for good governance.

iii **To incorporate the ingredients of Performance and Accountability:**

On critical review of the Civil Services functioning in State; the following points are very conspicuous-

- No Performance Orientation and no Appraisals in their career/ personnel development/ management.
- The Institutional / training capacity is very much limited to all India services and very few Grade I and II services viz., ACS, APS, Health, Agriculture, Revenue, Forest etc.
- Even for the premier ACS- State Civil Service there are no opportunities for formal In-service training in the state currently.
- It is observed that only (approx.) 5% of Civil Servants get pre-service training while the maximum 30% (approx.) gets in óservice training.
- The Grade-III civil servants who are the backbone of district administration and Directorates are not given any training both Pre-service and In- service. The result is trial and error learning wasting most resources and compromising the performance.
- Moreover the current capacity building is on traditional lines viz., analysis, clear and cogent drafting, working with the Ministers, Office procedure but not customer service, performance, innovation, computer literacy etc.

- It is also a fact that the corruption has taken deep roots in administration to the extent that it is no longer inviting any social rebuke-which is a clear sign of the morale of civil servants towards their performance and the state.

The scenario clearly reflects that there is not only too much inadequacy of training institutions to most of the Civil Services but also shows that most of the civil servants are not given any opportunity of training in acquiring the basic skills viz., Customer Service, performance etc.

iv. **To build upon what has been done in the state of Assam:**

- ❖ The Government of Assam took active part in drafting the National Training Policy 1996
- ❖ Nov. 1996: Participated in All Chief Secretaries Meet õAn Agenda for an Good and Responsive Administrationö
- ❖ Took part in 24 may 1997 õ All Chief Ministers Meetö on Good and Responsive Administration.
- ❖ The Assam Administrative Staff College Khanapara Guwahati had successfully completed a project capacity building for Civil Services, Administrative Reforms and Training (1998) sponsored by the UNDP and Department of Personnel and Training Government of India. As a part of the project four studies were conducted on i) Simplified procedures ii) Skills through training iii) Training Need Analysis and (iv) Gender and Civil Services. The Indian Institute of Management (IIM) Kolkata too provided a consultant report on project.
- ❖ The Government of Assam Constituted a Task Force (1996) to implement the project study reports in three sectors viz., Personnel and Administrative Reforms, Urban development & Industry.
- ❖ Chief Ministerøs Action Plan for Good Governance: Citizen Charters, District web sites, Facilitation Centers, Transparency, passing of Right to Information Bill are already in place.
- ❖ Constituted a Committee on Fiscal Reforms 2001 and the report submitted strongly suggested several measures for good governance.
- ❖ The AASC has been chalking out a need based- demand driven training programmes under decentralized strategy for wider outreach.
- ❖ The Government of Assam constituted an Administrative Reforms Commission to study and recommend on the way to improve the Government delivery and is expected to submit its report very soon.

(a) Areas of Strength

- The Assam Administrative Staff College -A Premier Resource Center of Training Technology with a sprawling Campus. The center for good Governance can be set up within its campus.
- Inquisitive Civil Servants; Fairly egalitarian Society and Fair Gender equality

3. Approach:

The centre for good governance shall be registered society under the Registration of societies Act. The Director of Training shall be Director of the CGG and the Director General of Training: Assam Administrative Staff College shall be CGGøs Director General. One joint Director of training AASC shall be assigned with this job exclusively for the purpose. Additional required manpower for the Center for Good Governance will be recruited as assignments on contract basis/ Consultancies

There shall be a CGG Board comprising the Chief Minister, few Ministers and key Secretaries, as well as external stakeholders. The Board will be closely involved in problem identification, in the development of the programme and in its implementation. Other Ministers and secretaries and also other senior officials, in particular District Commissioners, will be closely involved throughout the work of the CGG. Consultation and participation at Department level will be integrated into the work. Governance reform will only deliver the outcomes sought by Government of Assam of each project undertaken by CGG is approached in a highly participative manner, involving senior managers, senior officials, more junior public servants involved in the delivery of services and key stake holders. All aspects of the reform process will be undertaken as collaborative and participative exercises, with the individual implementation projects being led by the relevant Secretary or senior manager in Departments, involving the staff who have responsibility for the areas within an implementation team. In general, these officials will be responsible, and accountable, for delivering intended project outputs.

A partnership between the CGG and other parts of Government will be developed to ensure that there is a level of ownership necessary to ensure successful implementation and achievement of the planned improvements. The CGG may provide resources to support the implementation of reform, but the work will be owned, and will by and large be undertaken by implementation teams within departments or at district level. The CGG support will ensure that implementation is coherent and consistent.

There shall be smaller Steering Group from Board Members as an operational management body for the CGG. In addition, a number of work stream subject groups will be constituted, which will also include relevant

secretaries and Heads of Departments, experts in particular subject areas and NGOs and other stake holder organizations.

4. Key outputs/ deliverables:

a) Think tank ó Institutional Development- for understanding and managing the complex issues of change and reform in the current globalisation and technology era.

b) Accessibility of Expertise to the line departments on various focus issues.

c) Improved Human Development Index ranking of the state.

d) Simplification of Rules and Procedures incorporating the autonomy with accountability.

e) Capacity Building of Training faculty, civil servants and infrastructure of Departments

f) Systematic Performance Appraisals of organizations / institutions and civil Servants.

g) Attitudinal change and Improved Skills among Civil Services

h) Positive Political environment with commitment and vision.

Desired Impact : Good Governance:

- Competent management of Stateøs scarce resources in manner that is open, transparent, accountable, equitable and responsive to Peoples needs i.e.,

   Reduction of Poverty and Sustainable Development : Assam

- Encompasses: Better Economic and Financial Management; Successful implementation of Govt. Policies and priorities; Strengthening Law and Justice, Human right; Increasing the Public Sector Effectiveness; Anti-Corruption, Market Economy, Improved Human Development Indicators on the long run; Developing a Civil Society.

5. Risks:

- Lack of political commitment,

- Internal resistance to change, may result in project delays.

6. Stake holders of the Project:

The internal Stake holders of the Project are: (i) Political Executive of the State (ii) Govt. of Assam Administrative Reforms and Training Dept and the Dept. of Personnel (iii) all Govt. Departments (iv) Centre for Good Governance (v) The Assam Administrative Staff College (vi)

the Civil Servants of All India Services, Grade-1 services who are mainly responsible for policy matters by way of submitting advice to the political executive and the Grade-I, II and III services who are the instruments / executive of the policies in the field and are the cutting edge between the government and the public.

The External stakeholders are the Public, Assam Legislative Assembly, Judiciary, Media, Civil Society, market economy and Human rights organizations.

7. Sustainability:

- Institutional Development of the and the Assam Administrative Staff College and linkages with the line Departments.

- The Commitment of the Government both the nodal Department i.e., Dept. of Administrative Reforms and Training and other Departments of the Government

- Visible improvement in the service condition, work environment and job satisfaction of Civil Servants and in the Performance Civil Servants with simplification.

- The commitment and interest of Government Departments for their openness to conduct training needs, interest in the capacity building of Departmental Training Managers to assess the respective department civil servants training needs, design of training and deputing them for training and evaluation etc at through internalization. Enforcement of action plans of (pre- and In-service) Training of their employees, Institutional development of Training etc.

- The Pressure of Civil Society, Legislative Assembly and media

8. Government Commitment to the Project:

The Government of Assam is committed for the partnership with IDA with a logical end towards the set outcomes.

Note V : District Administration

(a) Prime Minister's Address to District Collectors
    May 20, 2005

(b) A Report by Deputy Commissioner Kamrup Metro
    on Modernisation of District Administration

Address of Dr. Manmohan Singh
Prime Minister of India
at
Collectors' Conference held on May 20, 2005

PM's Address at Collector's Conference

May 20, 2005
New Delhi

ōI express my joy to be in your midst and to participate in this interaction with District Collectors assembled from various parts of our country. I have had a chance to sit through the presentation of the results of your deliberations spread over the last few months and I congratulate the Cabinet Secretary, the Personnel Secretary and the Minister, Shri Suresh Pachauri, for the initiative that they have taken. As I listened to some of these presentations, I felt there was indeed a lot of food for thought and I am very happy that our District Collectors are operating on the frontiers of knowledge. That augurs well for the system of administration that we have evolved in our country.

When I was a student some 50 years ago at the University of Cambridge, I had a very distinguished teacher Lord Nicholas Kaldor, a great Economist, he used to insist that there was no technical necessity for any economic or social system to do better than the other. What really made the difference to the functioning of any system is the mindset of those who made the critical decisions of a nationøs political, social and economic life, and who are the people who make the critical decisions of our nationøs life? Politicians, one has to reckon with, but the 600 odd Collectors who administer the Districts are an important linchpin of that establishment. No system can survive without having an establishment and by establishment, I mean a group of people who have a stake in the long-term well functioning of the system. In a democracy, political masters are selected by the people and in theory, they are the ones who provide us the sense of direction in which our polity ought to evolve. And in a democracy that ought to be the case. But one has to reckon with the fact that all is not well with the way our political system functions.

The Constitution of India and the founding fathers of our Republic set before us lofty ideals and goals. The Directive Principles of State Policy enshrined in our Constitution constitute the talisman which should guide our conduct. But we all know that there have been aberrations. Politics in a democracy has to be a purposeful instrument of social change. Politics in a poor country has to mediate between societal tensions, which are built into the body dynamic of a poor society trying to modernise itself. Unfortunately, many a time politics becomes the instrument of self-aggrandisement. And many a time, it ceases to be a purposeful instrument of social change. I am quite sure that these aberrations will give way to better days in the years to come. I do not despair, but one has to reckon with the realities as they exist. During this transition period, that is now on

the horizon, it is the duty of all of you to rise to the occasion, to steer our Republic's ship in the desired direction as laid out in the Directive Principles of State Policy. And that is why I said, if there is an establishment, you are the establishment in this country, you are the only people who have secured tenor and who are, therefore, obliged to take a long term view of the evolution of our polity. Politicians come and go and the way elections come, there is frequent change of political masters, many a time they don't have the occasion to think about the long-term consequences of what they are doing. And as I said, our country will get out of this present transitional phase, but in the meanwhile the ship of the Indian State has to move and has to move forward and more so, because we are operating in a world where human knowledge is increasing at a pace which was unthinkable even two decades ago. Modern science and technology have made it possible as never before in human history that chronic poverty does not have to be the inevitable lot of a majority of human kind. Poverty eradication is a feasible goal provided we make full use of modern science and technology and we evolve the social engineering technology of using that knowledge to achieve the basic purposes for which our polity was founded.

Great importance is attached to the tuning of our Civil Servants. Great importance is attached to ensuring that our civil servants remain faithful to the Directive Principles enshrined in our Constitution, that our civil servants operate on the frontiers of knowledge that Constitutional values, the quest for equality ó social, economic, political, that the State is an instrument for wiping out tears from the eyes of those who are disenfranchised, who are at the bottom of social and economic ladders, and that there is a commitment to social equity as well as excellence . These have to be the guiding principles, which should guide the conduct of our Civil Services.

All of you have to view yourself as role models. In a poor country like ours, some key decision makers, their conduct, their behaviour has a multiplier effect. And therefore, it is all the more important that our administration should be in the hands of men and women of character, of integrity, of ability who remain steadfast in their commitment to the ideas and ideals enshrined in our Constitution. Over a period of time, there has been growth of fissiparous tendencies in our country. It is partly built into the democratic process. Comparative politics creates tensions as well as it enables processes of mediation to sort out the division of people on the basis of religion, caste, language and State. An All India Service like IAS should never forget that their basic loyalty is to the Union and the Constitution that defines what India should be. As I listened to the presentations, I was impressed that here in this room, we have those, whom

I recall as essential component of the establishment of our society, that their heart and head both are in the right places.

I congratulate the Cabinet Secretary, the Personnel Secretary and Shri Pachauri-ji for having taken this initiative to bring you together, to reflect on processes of change, to reflect on policies, programmes and projects, which have a crucial bearing on the future evolution of our polity. I sincerely hope that with the ideas and ideals which have been projected today, we will work together in months to come to give them practical shape to reform the process of governance in our country. I am, therefore, very heartened to note that inspite of the rough and tumble in the life of an administrator today, you have all retained the analytical ability to understand the problems that lie at the core of your work and come up with possible solutions to improve our system of public administration at the grassroots. This ability to analyse, assess, diagnose and resolve issues and problems in a turbulent and changing world is the fundamental reason why this country needs an All India Service like yours. These are, of course, skills, which are not job of task specific and can be transferred across posts, regions and different levels of Government. The Collector or the District Magistrate remains even today the linchpin of the administrative system in India more than a hundred years after the creation of this Institution by the British and the more I think, whatever may be the view about colonialism, I think, the British Empire was an act of great adventure and enterprise and creativity. The institutions that we have inherited - many of them have served our country well - an All India Civil Service happens to be one of those prized institutions, which I think has been a proud legacy of ours for above a hundred years.

The founding fathers of our Republic were wise men. They recognised the need for an All India Civil Service even though it was a legacy of the British Raj. As Sardar Patel said, õ We will not have a united India if we do not have a good All India Service, which has the independence to speak out its mind and which has a sense of security. I need hardly emphasise that an efficient, disciplined and contented service, assured of its prospects as a result of diligent and honest work is the sine-quo-non of sound administration under a democratic regime even more than an authoritarian ruleö. This quote from the great Sardar Patel captures the essence of the values that are critical in your work ó being skilled and competent, honest, diligent, efficient, independent and ready to speak out your mind. These are values that we must cherish and they will certainly pay off in the long run, for yourself and the nation. Despite the temporary aberrations here and there, over the years the role of the officers has changed. Indeed, revenue collection is the least important of tasks today. You have become agents of change, of good governance and development administration at the very base of our democratic structure. The insights you gain during your tenure

at the district level stands you in good stead throughout your career because it gives you a first hand experience in dealing with the hopes and aspirations, the lives and livelihoods of our people. The State and Central Governments benefit immensely from this district level administrative experience very early in the lives of our administrators.

At this point, I would like to draw your attention to the changes that are sweeping India and indeed the world as a whole, particularly during the last two decades. We are today living in an increasingly integrated and globalised world. Distance in many ways has lost its old meaning. Distances are shrinking and markets are merging. Competition is the name of the game and the role of the State is being redefined in many sectors. In many manufacturing and service sectors, the Government is moving from being a provider of goods and services to being a regulator and facilitator ensuring fair play and adherence to standards of integrity and efficiency. Increasingly, Government's attention and indeed expenditure pattern is shifting towards the provision of physical and human infrastructure to enable individual players to compete in the evolving enlarged and at times global markets. The Government has also the obligation to ensure that the benefits of growth trickle down to all sections of the society, to ensure that they become equal participants in growth processes. At the same time, the Government has to ensure that those who are adversely affected by the winds of globalisation are able to adjust to new realities and economic opportunities.

In this redefined role of the Government, the cutting edge of a Government's function is at the district and lower levels. I think someone said India lives in States, I could amplify that to say that India lives in districts. Therefore, the provision of education and health facilities for improving human infrastructure, provision of physical infrastructure, improving economic opportunities for marginalised sections of society, preparing the society at large to face the challenge of disasters – natural disaster as well as manmade disasters - and who can forget the role of terrorism in disturbing all civilised societies in the world that we live in. We have to be prepared to meet all this challenges. And these are all functions which are best performed by local bodies and district administrations. As we sit in Delhi and try to design a template for a humane, caring and prosperous India, we are aware of the criticality of your role in this process – your role in ensuring good governance at the grassroots, in promoting innovation, in improving service delivery, in enhancing public private partnerships and in ensuring outlays become outcomes. I believe that unless we reform governance from the village level upwards, there can be no real reform at the National level. And what I heard this morning gives me confidence that we have men and women in

this room who can be trusted to be active agents of improving the quality of our governance in the years to come.

This task of improving the quality of governance at the village and panchayat levels, vests directly in the hands of the elected representatives of the people at the panchayat level and in the hands of Collectors and fellow officials at the district and block levels. The role of the Collector in our system has always been a most critical one. The Collector is an inter-sectoral functionary who is the source of strength of this institution, which stood the test of time. Over the years, the role of the Collector has dramatically changed adding on several development-related responsibilities that do complicate his or her basic regulatory functions. We have also had a major shift in our administration through the 73rd and 74th Constitutional Amendments, which sought to revitalise local bodies and create elected representatives down the line. Though this was expected to whittle down the powers of the Collector, our historical experience is that the role of the Collector has only been transformed into a more powerful one of coordinator, facilitator and a person who is responsible for inter-sectoral coordination of various activities that characterise the work of our grassroot administration. There has been a deepening and broadening of political process in India. It has deepened through Panchayati Raj and broadened through societal actions by NGOs, civil society groups and professional bodies. Today, the test of a good Collector is his ability to work with the people, to inspire them, to realise their latent potential and their latent creativity. Itøs a job in which human resource management, strategic planning and strategic thinking, financial management all need to come together. Our development experience so far has been that decentralisation is not merely a political imperative but as much a managerial necessity given the large size of population in our States. Even a district in our country is similar to a province in other countries. It is, therefore, a managerial imperative to strengthen the middle management level in our delivery system for effective delivery of public services and this has to be at the level of the Collector.

To my mind what is as important as the skill set of a Collector is the attitude that he brings to bear on his job. We are a country that is characterised by uneven development between regions and between people. The major challenges that you have in most districts is to ensure a general equality of opportunity to all people, removal of mass illiteracy, disease and foster economic growth and development. In order to be ethically neutral in a context of inequality, you have to partisan ó partisan towards the poor, partisan towards the weaker sections, partisan towards minorities, women and SCs and STs and all such disadvantaged people who need support of the Indian State. You operate in a society that has several inherited prejudices built into our social fragment and in this

environment you have to become a beacon of change and lead by example. You should be conscious of the fact that while being sensitive to the imperatives of democracy and majority rule, you must be alert to minority opinion. You must learn not merely to tolerate but respect dissent because your job requirement is that of forging a consensus among contentious claimants. The attitude that you bring to bear as a head of a district is what would be emulated by the people who work with you. I, therefore, appeal to all of you to have an abiding commitment to social equity, particularly for the marginalised sections of society and work to make them genuine partners in process of social and economic change.

It is of course your constitutional duty, your obligation to fight the forces of social and communal divisiveness, of casteism and regionalism and other anti-national forces and tendencies in our body polity. Its my firm belief that what we are experimenting in our country is something unique in the history of the world. Never before has a country of one billion people sought to bring about a social and economic revolution in the framework of an open society committed to protect all fundamental human freedoms, committed to the respect of law and therefore all over the world, people marvel that such a country exists, a country of one billion people trying to seek its salvation, trying to manage processes of social and economic change in the framework of a functioning democracy commitment to the rule of law and respect for all fundamental human freedom. I do believe that all societies of the 21st century will be multi-cultural, multi-religious, multi-ethnic society. So the experiment that is being performed in this ancient land of ours, has great historical significance and I believe if we succeed, we will influence the course of human evolution in this 21st century, which has just begun. Therefore, all of us, howsoever small, are partners in a great enterprise. We are small people thrown up into big chairs. But we are on the threshold of an era of immense opportunities and immense challenges and all stakeholders of our social, economic and political system have to work together to realise our manifest destiny. As I said in particular, I appeal to you all to have an abiding commitment to the pursuit of social equity, concern for the marginalised sections of society and to work, to make them genuine partners in processes of social and economic change.

Your role in the evolving dynamic setting, in which change we must, but must remain committed to the pursuit of excellence and we must harmonise the commitment to the pursuit of excellence, to the pursuit of social equity. This is a sacred duty we all have to perform in the service of the nation and our nationhood and our posterity and our prosperity. Our Constitution is a living guide. It is supreme and you are duty bound to uphold it. The values of our Republic are sacred and we must work together to protect and preserve these values. The more I read the

Constitution, the more I am struck at the great reservoir of wisdom possessed by the founding fathers of our Republic. I think those values have stood the test of time. We are all to work in harmony, in concert, to ensure that this value system continues to guide us all in the 21st century. As I said in the beginning, we are living in a world where human knowledge is increasing at an unprecedented pace. Therefore, we all have to be willing to think new. Your job is precedent and procedure bound but as young men and women working in the 21st century, you have to be sensitive to the fact that you are living in an innovation driven world, in a demanding polity and a plural society. Old solutions may not work. You should be able to provide a leadership in tune with the demands of our time.

I believe all of you have a unique opportunity today in mediating societal action for development. The structures of Panchayati Raj are in place but they need to be infused with new vitality. These organisations enable you to mobilise collective action for development. India's great strategic resource is its people. India has a billion opportunities in its people and you must all see that those opportunities are converted into a permanent advantage for our country. Many of the challenges that you face in your district, be it the education challenge, the water challenge, the health challenge or the employment challenge, the solution may lie in enabling people to handle change and improving service delivery. A Collector therefore can provide a leadership to this task of nation building. As we try to create an environment conducive to creativity and enterprise, your priorities should be clear. We want to make economic reform an inclusive process. Every section of society must be able to benefit from the process of reform. This will mean immediate attention to issues of agriculture, rural development, health, education, infrastructure, focusing in particular, on the weaker sections and ensuring of communal harmony at all costs. Our Government is in the process of finalising a focussed programme called ‑Bharat Nirman‑ Under ‑Bharat Nirman‑ we have a target of providing 100 per cent connectivity to India's villages through roads, electricity and telecommunication and ensure 100 per cent coverage under safe drinking water supply by the year 2009. In addition, we aim to create one crore hectares of additional irrigation and 60 lakh houses through the Indira Awas Yojana. You are going to be the critical agents for ensuring that the new deal to rural India genuinely transforms rural lives and livelihoods. If Parliament passes the Employment Guarantee Bill, and I believe, it will be passed in the next Session, we will launch a major new initiative of providing a minimum amount of work to all able-bodied persons who are seeking work in rural areas. I invite you to prepare yourselves to meet the challenge of Employment Guarantee Programme. I invite you to work out before hand a shelf of projects and programmes which will convert this employment guarantee into a major national effort

to improve the quality of our physical infrastructure ó economic and social infrastructure.

I would request you to ensure that the objectives of ‑Bharat Nirmanø are met and met fully. We are also, as I said, about to legislate an Employment Guarantee Bill which will cast heavy responsibilities on the district administrations. You have the responsibility of preparing a shelf of projects spread over regions likely to be affected by scarcity of work. You have also to ensure proper implementation in the right spirit. Work through contractors and machines sometimes destroys the very purpose of this right. I appeal to you to rise to the challenge of implementing this Act when it becomes a reality. We have similarly targeted programmes of universal elementary education, improvement of rural health through the National Rural Health Mission. I heard some presentations which said that there should be a holistic approach to the management of healthcare facilities at the district level. This National Mission does precisely that. It will enable probably for the first time a holistic view being taken of the key health priorities in each rural district of our country. Universal coverage of mid-day meal, expanded coverage of the ICDS programme, agricultural transformation through the National Horticultural Mission and addressing food security through the Antyodaya Anna Yojana ó all of these programmes have adequate funds and they have to be managed at the district level. So, your ability, your motivation will be the most decisive determinant of where India is in the next 10 or 15 years. I would urge you to ensure that the goals of these programmes are fully met in each of your districts.

I have had a chance to understand the problems you perceive in improving the quality and outcome of your work. Some of these are being addressed through Right to Information, the portal just launched and the National Rural Health Mission. The Right to Information is a powerful tool for ensuring good governance through transparency and accountability. You have a critical role in ensuring that the mechanisms are put in place for the full realisation of this right.

I have noted the other issues and I assure you that we will address all these issues. One important issue, which has risen not only today but many times before, is security of tenure of key functionaries of district Collectors, of Superintendents of Police and I do recognise that you are entitled to ask for this. No system of Government can deliver if people can be changed without notice, short tenures do not produce accountable results. I do recognise the difficulty, this is a matter in which the Central Government by itself cannot move, we have to work with the States but I do propose to bring this subject before the National Development Council as an integral part of improving the quality of our administration making it more

transparent and more accountable. If we are going to pursue these goals, it is necessary that our Civil Servants should be entitled to a minimum security of tenure so that they can be judged whether they are equal to the tasks, which have been assigned to them or not. Also I assure you, I learnt a great deal from these new innovative programmes. We have to learn from best practices in various parts of our country. There has to be a networking so that these best practices become infectious, they spread from one part of our country to another and if it is necessary to set up an innovation fund to promote innovation in governance at the grassroots, I am all for it. And I also believe that we must institute a viable system of national awards for rewarding outstanding public service. People talk about the power to do good. Your job situation is so unique in that you have the maximum power to do good in each of the places you work. You should make it an experience worth remembering. We now have much more resources today in our country to change the world around us than we have had ever before. We have an explosion of ideas. We have a society that is becoming increasingly more politicised but also more vigilant. These are opportunities not available to your predecessors. Therefore, be idealistic enough to take up this challenge of building a new India free from the fear of war, want and exploitation. Be innovative enough to look for new opportunities. Be sensitive enough to contribute to creating a just and humane society. Be modest and lead decent but simple lifestyles eschewing conspicuous consumption and extravagant living. Have concern for those who work for you and inspire them through example.

I urge you to combine your commitment to idealism with a passion for excellence. Unless we inculcate this commitment to excellence at the grassroots level, and at the earliest stages in one¢s career in the Civil Service, it will not be possible to create an environment of growth and development at the national level. As members of the most prestigious of our Civil Services, you must impart this message, of seeking a commitment to quality and excellence in the work we do. Compassion must be combined with competence. That should be the motto of a meritocracy like yours. You have my very best wishes.ö

Modernisation of District Administration:
A Report by Kamrup District Administration

Presentation made before the Commission on 6-4-2005 by
Shri Samir Kumar Sinha, IAS Deputy Commissioner Kamrup (Metro)

Modernisation of District Administration:
A Report by Kamrup District Administration

Introduction:

The aim of this report on modernization of district administration is to identify the critical governance related issues through a citizensø frame of reference. Further, it seeks to address these issues and suggest a roadmap for ushering in better governance which would encompass issues like transparency, responsiveness, efficiency, quality etc. in district administration.

The citizensø concerns highlighted in this report have been identified on the basis of interactions with citizens during their visits to government offices, field-tours and inspections by district officers and revenue functionaries. The periodic exercises like the RPRS sessions (citizen-government contact programme of state government of Assam), Rajah Adalats (revenue camps in villages), Gaon Sabhas etc. have also yielded information regarding citizenøs expectations from administration.

Citizen's Concerns:

It was discovered that the citizen expects speedy, hassle-free and efficient preferably single-window delivery of government related services.

The concerns of a citizen today, are as follows :

(A) **Primary Concerns :**
   a. Quality of services: A citizen expects high standards of quality especially when compared to similar & better services being provided by the private sector though for a higher price. Especially, in case of certain essential services which are of primary concern to the citizens, quality cannot be compromised.

   b. Education: Almost all government schools are plagued by problems such as absenteeism of teachers, poor quality of teaching, poor infrastructure & supporting facilities etc. Even ambitious government schemes like Sarva Shiksha Abhiyan, Mid-day Meal schemes etc. have not yielded the desired results because of these inherent institutional problems.

   c. Health: In government health centers & hospitals the patients despite traveling long distances, wait in long queues and are confronted with absence of the doctors and paramedics,

inadequate stock of medicines, lack of facilities e.g. ambulance etc.

d. Sanitation & Drinking Water Supply: Especially in the rural areas is a major concern as a preventive measure towards ensuring health and well being of the citizens.

e. Law & Order and Public Safety: The general public is usually reluctant to approach the police for help because of the low degree of trust that exists between the citizens and the entire police administration.

f. Employment Opportunities: Although there are numerous schemes for wage and self employment being implemented by the government but the intended benefits have not reached the most deserving people in most cases in the desired way.

g. Enforcing right over land: The copy of the jamabandi i.e. the Record of Rights, Tenancy and Crops is an all important identity paper needed by a farmer to obtain bank loans, settling land disputes etc. A farmer is often subjected to harassment while obtaining a copy of the jamabandi, applying for mutations etc.

(B) **Secondary Concerns:**
  a. Lack of information about the schemes sanctioned for one's area, amount of funds allotted, status of utilization, criteria of beneficiary selection, list of beneficiaries etc.

  b. Lack of awareness and resultant denial of one's entitlement under various government schemes especially social security & employment generation related schemes because of unfair selection of beneficiaries, exploitation by middlemen etc.

  c. Apparent apathy and insensitivity of government apparatus to citizen's problems because of lack of an institutionalized, speedy public grievance redressal mechanism

  d. Corruption, lack of transparency, inconvenience and harassment in dealing with government machinery.

  e. Inordinate delay in processing of petitions, applications etc.

f. Making frequent trips to government offices for petty jobs like obtaining copy of record of rights, determining status of pending applications, attestation of certificates etc.

(C) Concerns of Special Interest Groups:

a. Senior Citizens: Receiving Old Age Pension timely and regularly.

b. Unemployed: Access to information regarding self-employment opportunities under the various government schemes.

c. Women: Access to information about special schemes for their welfare e.g. National Maternity Benefit Scheme, Women SHGs under SGSY etc. & receiving their entitlements under them.

d. Farmers: Awareness about the special programmes like KCC, crop insurance, agricultural extension etc. and easy availability of a copy of jamabandi for their landholding

e. Local government representatives: Access to information about funds or food grains allocated to their region under under the various projects and schemes such as SGRY, MPLADS, MLALADS etc.

f. Students: Awareness about courses and scholarship schemes available for them in colleges within as well as outside the state.

g. Entrepreneurs: Easy and Hassle-free issue of licenses, clearances and payment of taxes & duties.

Inherent Inadequacies in Administration:

- Non-availability of adequate and reliable data for planning and monitoring
- Lack of coordination among the various line departments, DC office etc.
- Lack of people's participation & involvement in government programmes and schemes
- Lack of feedback from citizens regarding quality service delivery
- Office Working Environment
  - ✓ Low level of motivation among the employees
  - ✓ Poor facilities

- ✓ Unsatisfactory level of government-employee related services e.g. implementation of employee welfare schemes (pension, GPF etc.)
  - ✓ Lack of responsiveness towards employees grievances
- Complicated and incomprehensible procedures i.e. rules, regulations and guidelines of government functioning which are beyond the understanding and often beyond the reach of and average villager. Because of these the general public is unnecessarily harassed and exploited by government office õ babusö
- Lack of professionalism, citizen-focus & discipline among the government servants.

Systemic Changes:

A. Government Process Reengineering

Government Process Re-engineering involves redesign of existing processes in order to achieve greater effectiveness and efficiency. It is the prerequisite for ushering in e-governance. Information and communication technologies would lead to improvement in quality of public service delivery only when they are utilized for enabling new processes and not just for automating the existing processes together with their built-in-inefficiencies.

1. Simplification of procedures:

- Self-attestation: Most of the visits to the government offices are attestation of various kinds of certificates like Caste, Income, Permanent Residence etc. This can be completely done away with by introducing a system of self-attestation along with hefty penalty, incase of falsification of claims.

- Comprehensive classification of rules, guidelines and procedures is necessary for efficient service delivery and better understanding among both the officers and the general public.

- Delegation of adequate powers and responsibilities needs to be done so that unnecessary file movement and resultant delay may be avoided.

- Standardization of application forms & categorization of nature of applications and petitions based on priority and frequency (e.g.

issuing coloured forms). High priority applications would be routed through a speedier channel which would bypass routine formalities.

- Codification and classification of common grievances like each petition would be allotted with a unique ID with processing time mentioned and separate records would be maintained department wise for tracking them.

2. Single-Window Payment and Delivery systems : need to be introduced wherein all payments of user charges (telephone, electricity, water supply etc. bills), fees, taxes etc. are made. And these outlets can also be used as nodal points for receiving all kinds of applications, petitions etc. from the citizens.

3. **Improving citizen-government interface :** through mass contact programmes in field on fixed days at fixed places (an annual calendar for the district can be prepared and circulated among the people) for immediate redressal of public grievances by all district heads.

4. **Introducing a feedback mechanism :** wherein the delivery of government services would be judged by the citizens and hence highlight areas for improvement for the administration. Also, the accessibility of the administration can be greatly enhanced by introduction of online discussion forums, direct mail to district officers etc.

5. Taking steps for improving coordination with line departments through better information sharing and eliciting their participation in planning and decision making processes.

6. Preparing Panchayat-wise master list of all schemes needed for the area on a priority basis, from which, execution of the scheme is done depending on availability of fund. This list would help promote transparency in scheme selection & monitoring of fund utilization.

B. E-governance:

E-governance involves utilization of information and communication technologies to further development.

Why E-governance?

- Minimises citizen-government official contact points yet improves accessibility of government at various levels of hierarchy
- More efficient and speedy delivery of government services

- Enhances the accountability of the staff as clear work distribution and monitoring helps in pinpointed fixing of responsibility
- Public Grievance Redressal mechanism wherein, if the concerned application or complaint is pending beyond a fixed deadline then the matter is automatically reported to next higher authority.
- Saves inconvenience of making frequent visits to government offices.
- Brings in openness and transparency as information becomes readily available

On these lines, the following changes may be undertaken for better efficiency and enhanced output i.e. better quality of public service delivery.

1. **Issuing Citizen Card:** A multi-purpose card embedded with a micro-chip containing all citizen-related data relevant for transactions with the government. To begin with, such cards can be issued to the beneficiaries of government schemes and programmes like BPL population, senior citizens (Old Age Pension), Women etc. This will help in beneficiary identification and hassle-free disbursement of their entitlements under the schemes.

    1. **Creating Reliable Database:** Data collection from the grassroot level with the help of local revenue administration machinery and continuous updation of database both at the local level and simultaneously at district level needs to be introduced. Data exchange & sharing among the line departments, district office etc. would be necessary for effective planning and monitoring of implementation of schemes.

3. **Office Computerisation :**

    - Networking all branches in DC office and dial up connectivity with the various line departments would help ensure information sharing and facilitate convergence of services and delivery mechanism.
    - Management Information and Decision Support System:
    - Database of all block and circle-wise information e.g. population, PHCs PDS outlets, Police stations etc.
    - Database of schemes implemented, fund sanctioned, beneficiaries under the scheme etc.
    - Computerisation of finance & accounts and online tallying with treasury records

- Computerisation of land records along with facility for online mutations
- File & Dak tracking software
- Monitoring pending applications. petitions, complaints etc.
- Dial up connectivity to CICs at block offices as well as line deptts and hence online updation of district server database
- Multi-purpose I-cards with microchips containing all employee related information can be used for monitoring attendance

4. **District Disaster Management System :** can also be upgraded by having GIS supported by the detailed databases e.g. inventory of vehicles, boats etc. available, data related to flood levels in previous years and vulnerable areas, possible locations for relief camps, approximate requirement of relief material etc. This software can be utilized for better disaster preparedness and planning a more organized response to disasters especially the annual floods.

5. **Land records Computerisation :** is the heart of any e-governance project based in rural areas. A farmer can obtain computerized copy of jamabandi, can apply for mutation through kiosks etc. Also, the database is a rich repository of information relevant for planning purposes.

6. **E-governance services** would be provided through the front-end available in the local language which would be a hierarchy of service delivery nodes (Facilitation Centre-CICs ó Kiosks). Levying nominal user charges for accessing e-governance services would have to be introduced for ensuring revenue generation and financial sustainability of the project. The services that could be provided would be as follows:

- Computerised copy of jamabandi for agriculturists
- Online submission and tracking of applications (along with, name of officer with whom pending)
- Online invitation of tenders & transparency in process of selection of suppliers and contractors
- Complaints and grievances sent online to concerned department, which after a fixed date gets automatically reported to the next higher authority
- Scheme related information like list of beneficiaries, criteria of selection, ones entitlement under the scheme etc.
- Facility of direct mail to DC incase of urgent and important matters

Suggested 3-Tier E-governance Setup:

The existing facilitation center would be upgraded as single-widow delivery point and nodal front end for e-governance services while the DC Office Server would be the supporting back end. The facilitation center to be operated by professionally trained personnel who serve with a client focused attitude such that the citizen experiences an entirely different form of service delivery in government.

Starting rural kiosks on a pilot project basis, to begin with, in certain areas (under the overall guidance & control of local CIC) identified on the basis of general awareness level among people, economic feasibility for the kiosk operator as an entrepreneur etc. In the next phase, depending on the success of this pilot project, similar activities can be replicated in other areas of the district.

Strengthening the Community Information Centers in other areas to act as access points for e-governance services for the citizens.

C. Background Changes:

E-solutions cannot be effective in isolation from other administrative solutions. Hence, they must be supported by certain gradual background changes which would help in ensuring acceptance and sustainability of the larger systemic changes elaborated above.

➢ **Change Management:**

- Making the office working environment conducive & productive by providing overtime honorarium, facilities like drinking water, computer, vehicle, canteen, public conveniences etc.

Improving the Work Culture :

- Motivating staff through frequent staff meetings and emphasizing on values and professional ethics etc.
- Involving them by taking their suggestions & ensuring their active participation and commitment towards the intended change
- Discussing frankly any genuine doubts and apprehensions
- Delegation and decentralization of power and responsibility

Capacity Building:

- Skill upgradation and training
- Training in basic computer skills for staff

➢ **Infrastructure Modernisation:**

- Improving the status of connectivity in terms of physical connectivity i.e. roads etc. as well as electronic and digital connectivity i.e. telephone, internet etc.
- Up gradation of the quality of infrastructure and facilities available at the government educational, health institutions etc.
- Power availability in most interior areas is erratic and hence, needs to be tackled appropriately with the help ASEB. This will help us to cover these areas with respect to starting rural kiosks in the next phase of the modernization project.

Nature of Investments and Resources Required for Bringing About Systemic Changes

An approximate ‗Cost-Benefit Analysis‘ exercise would easily prove that the investment in this project would be more than compensated for by the improvement in productivity, efficiency and quality of service delivery.

- The district administration would require technical expertise as far as e-governance & computerization is concerned. The existing technical resources like NIC need to be optimally utilized especially for training and capacity building of the staff. Further, a private player specializing in developing and running e-governance solutions should be roped in for providing the software, its implementation and maintenance.

- The mode of project implementation should be that of ‗Public Private Partnership‘ wherein educated unemployed youth can be transformed into entrepreneurs or rural kiosk operators.

  ⇒ With the help of training and technical support of the private partner and financial support from banks these entrepreneurs can provide e-governance services through the kiosks.
  ⇒ In order to ensure the financial viability of running the kiosk as a business, other income generating activities like STD/PCO, Xerox, Printing, training etc. would also be coupled with the main function of delivery of e-governance services.
  ⇒ As a part of the agreement between the three parties involved in the project i.e. the district administration, private player and kiosk operator a revenue sharing arrangement would be worked out. All services would have a nominal fee order to ensure the financial sustainability of the project in the long run.

- There are certain existing schemes under which funds can be availed of and utilized for modernization e.g. Rajiv Gandhi Computer Literacy Project, Community Information Centers etc. The modernization project can help in synergizing the benefits facilitate convergence of all such schemes.

- Moreover, certain existing schemes are aimed at upgradation of the physical and social infrastructure in especially the rural areas e.g. Pradhan Mantri Gramodaya Yojna, Pradhan Mantri Gram Sadak Yojna, Sarva Shiksha Abhiyan, Rural Electrification Programme etc. The effective focused implementation of these schemes in the backward rural areas can prepare them for benefiting from the nest phase of the modernization project.

Chapter XVII

Functional Review of 5 Key Departments of Government of Assam

Departments :

- Education,
- Health & Family Welfare,
- Irrigation,
- Public Works, and
- Personnel

Problems sorted out with the help of Public Sector Reform Group of Asian Development Bank.

Functional Review of 5 Key Departments of Government of Assam

Common Problems

There are important inter-sector links in each department such as water supply, sanitation and nutrition in health, health status of school children, ICDS centers and pre-primary education, PMGSY funds for infrastructure and road links for schools and health centers, PWD¢s capacity to maintain and upgrade buildings, agricultural operations, parallel responsibility for minor irrigation and community mobilization in agriculture, irrigation and Panchayat departments, command area development, ongoing World Bank assisted project for agricultural competitiveness project and hydel power.

Certain common issues (related mainly to functional reviews and not technical aspects) affect the four departments in the current context of fiscal crisis and manpower containment on the one hand and the persisting issues of public administration and personnel management in the state.

These include:

- Implications of delay in financial and personnel matters in secretariat
- Shortage of non-Plan funds for completing existing works and essential operation and maintenance;
- Levy of user charges in higher and technical education, irrigation and toll roads and implications for user involvement and improvement in quality;
- Lack of priority to establishment control function and manpower planning
- Lack of rational staff norms or failure to update old norms;
- Lack of accurate and regularly updated employee data in computerized form which can be linked to treasury payroll and pension;
- Critical vacancies of frontline positions and difficulties in filling vacant positions;
- Need to normalize Plan post as to generate additional funds for Operation and Maintenance and creation of assets
- Multiplicity of cadres, long hierarchies and insufficient attention to cadre management;
- Preponderance of grade III and IV posts in non-technical and office positions and scope for contracting services in line with general policy;
- Lack of service rules for several posts and old rules in need of revision;

- Implementation of the transfer policy circulated by the Personnel department and ensuring transparent and objective guidelines for minimum tenure and posting;
- Flexibility in redeployment of posts and employees through administrative changes or amendments to rules;
- Delays in administrative approvals from finance department (after consultation where necessary with Planning and WPTBC) for filling posts, salaries for retained posts, new or continuing schemes, budget ceiling, release of counterpart and non-Plan funds and contingent expenditure;
- Litigation, High Court judgments and contempt orders in service matters, especially regularization of contract or irregularly appointed workers, salary arrears, punishments, transfer and ad hoc promotions;
- Problems of disparities in remuneration and stagnation and delay in payment of salaries and award of pension to regular employees;
- Inadequate skill development and opportunities for training;
- Lack of computerization in many aspects of functioning and most territorial units;
- Factors affecting motivation and performance such as pay scales, traveling allowance, delayed payment of salaries, work environment, lack of equipment and facilities, poor condition of accommodation and insufficient or no promotion prospects; and
- Inadequate mechanisms for client oversight and external accountability partly due to limited progress in devolution of functions to panchayati raj and urban local bodies.

The exercise will lead to common strategies for redeployment and offer of voluntary retirement accompanied by social safety network. The elaboration of the strategy will call for collection of data on different elements of establishment control, staff size, category, Plan and Non Plan breakup and approach to filling vacancies. Building capacity for personnel management and organizational reform is a major challenge confronting all departments which will be addressed under the guidance of AARC and the public administration reform committee. ASC can assist in this task as it has already started doing.

Education (As on 1-1-2005)

Education department accounts for the largest share of government employment including provincialized teachers besides salary expenditure for aided colleges and institutions. The management of education sector is characterized by multiple directorates and agencies and by different streams of activities. At the secretariat, while there is a single Minister, there are two

departments under the Commissioner with each department being headed by a Secretary: one for elementary and secondary education and one for higher and technical education. The department of elementary and secondary education controls the directorates in charge of elementary education, secondary education, the project directorate of Sarva Siksha Abhiyan (SSA), SCERT and Textbook Bureau. The other department controls the directorates in charge of higher education and technical education. Elementary education depends substantially on funds provided under centrally sponsored schemes including SSA. A number of departments like Social Welfare and WPTBC provide educational services.

There is substantial scope for restructuring the Directorate to address the issues of accountability, transparency, expenditure compression through staff reduction, and fiscal consolidation. Bulk of the Plan and non-Plan provision is consumed by salaries. Besides the common problems noted earlier and the specific issues in the health and education sector, the aspects deserving study for the review include:

- Problem of shortage of funds even in areas of assured central funding (as in SSA) due to difficulties of counterpart funding and timely release of funds;

- Shortage of non-Plan funds for salary provision in higher and technical education and lack of funds for normal and maintenance and upgrading in these institutions; implications for levy of user charges;

- Problems of continued funding of salaries and pensions in grant-in-aid institutions, question of imposing budget ceiling as in other states and ensuring quality and performance of these institutions;

- Redundancy of the directorate of adult and non-formal education and scope for reorganizing directorates for elementary and secondary education along with the scope for franchising textbook production;

- Ensuring integrated working of all directorates and reporting to the Secretariat through a Director General of Public Instruction;

- Lack of mechanism for coordinating the activities of the Directorate with other GoA Departments, and institutions engaged in delivering elementary education services, resulting in large scale duplication of activities, tasks, and functions, and unnecessary burden on the state's finances;

- Rationalizing the administrative structure at the district and block level, given the difficulty in flexible deployment of elementary and secondary education officials, the scope for appointing SSA project coordinators on contract basis, the resource centers devised under

SSA and the opportunity for involving the anchal and gaon panchayats and school management committees as in other states;

- Inadequacies of the structure in not providing means of assigning accountability with respect to assigned responsibilities; instances of duplication of tasks with similar task being performed by more than one branch/cell, or duplication of function vis-à-vis posts with similar functions/tasks assigned to different posts, all these being largely the result of absence of detailed job descriptions for posts;

- Problems of physical infrastructure in terms of construction and renovation of school buildings, basic facilities and all weather access of pupils to schools;

- Faulty location of schools and polytechnics, uneven dispersal of schools across districts and co-location of middle and elementary schools and need for rationalization;

- The huge size of teachers, numbering 131544 and dispersed over 23 districts (now 26) including the autonomous councils and BTC under Sixth schedule);

- Problems related to recruitment and appointment of primary teachers at the constituency level, which are aggravated by the provincialization of teachers, service rules and irregular/illegal appointment of teachers in the past;

- Large numbers of single teacher schools and difficulties in their upgrading;

- Tremendous variation in pupil-teacher ratio and obvious numbers of surplus and deficit teachers in schools and blocks, which cannot be easily resolved by rationalization committees or transfer due to local opposition;

- Large number of untrained upper and lower primary teachers and constraints faced by training institutions in districts in training;

- Problems in contract appointment of teachers in Education Guarantee Scheme and SSA and the risk of demands for regularization;

- Difficulties in identifying and filling vacancies of primary teachers in the absence of scientific studies and credible field data

- Vacancies of subject matter teachers in secondary and higher secondary schools;

- Scope for assessing requirement of ministerial staff at different levels and outsourcing services performed by grade IV;

- Problems created by the award of UGC scales to university teachers and technical institutions governed by AICTE and ensuring the performance of teachers in conformity with UGC norms;

- Recovery of user charges in higher and technical education;

- Slow progress in evolving reward and incentive mechanism and local oversight for ensuring teacher presence and education outcomes through departmental supervision, parental involvement;

- Problems of motivation, employee grievance and responsiveness of district and state education administration;

- Reducing the influence of extraneous factors in the appointment and transfer of teachers and location of teaching institutions; and

- Building capacity of cadre controlling authority

Health and Family Welfare (As on 1-1-2005)

Assamøs health infrastructure includes 610 Primary Health Centres, 99 sub-division health centers, 5109 Sub-centres, 100 Community health centres, 146 rural FW centers, 41 post-partum centers, 21 sub-division hospitals, 23 district hospitals, 8 specialized colleges, 3 medical colleges and 14 state hospitals. The department of Health and Family Welfare is divided into two branches: one for dealing with public health, family welfare, transport organization, food and drug control and the other branch for medical education. The programs are implemented through the Director of Health Services (for public health and disease control, food and drug adulteration and clinical infrastructure), the Director of Family Welfare and the Director of Medical Education (through the medical colleges and attached hospitals).

Government activities in health depend significantly on funds provided under different central schemes with state Plan being insufficient for maintenance and improvement of facilities. Health expenditure is low by national standards with critical shortage of funds for medicines, equipment, renovation and expansion of buildings for primary health care and hospitals and to enhance specialist care. A high proportion of expenditure is incurred on salaries in both branches of the hospital leaving little provision for health-related items.

The department has undertaken a number of innovative steps in recent months such as the phased conversion of CHCs into First Referral Units, enactment of law to create a cadre of rural medical practitioners and use of PMGY funds for upgrading health buildings. The formation of local management societies at the district and hospital level and their empowerment to levy and retain user charges has eased the situation on maintenance. Shortage of doctors, specialists and nurses, which is more

pronounced in remote and rural areas, affects the access to health care, institutionalized delivery, health education and prompt referral for emergency care.

The issues related to functional review in the health sector include:

- Picture of wide disparities in access of people (especially poor and marginal groups) to primary and hospital care;

- Poor physical infrastructure in general and worse picture in peripheral and remote areas for buildings, equipment, drug availability and availability of health staff;

- Issues of organizational structure for health delivery at directorate, district and PHC level, job descriptions, overlapping and duplication for similar functions, disparities in emoluments and career prospects and integrated working;

- Issues of adequate regulation of, and partnership with, private providers of health care;

- Inadequate attention to issues of human resource management, performance assessment, reward, recognition and sanction for performance and incentives for ensuring availability of health staff in areas with less access to health facilities;

- Varying nature of problems in filling vacant posts;

- Reform of recruitment policy and service rules to assure required complement of medical and paramedical staff, educators and health administrators, while rightsizing the component of non-technical staff and outsourcing non-clinical services;

- Distinct problems of medical education and public health/family welfare;

- Critical shortage of doctors in primary health centers and hospitals and non-availability of medical officers in health centers, especially in remote and rural areas due to a variety of factors including low remuneration, disinclination of medical graduates to enter public health service and gravitate to private sector or other states and lack of incentives and sanctions to ensure the presence of medical officers in the assigned place of work and assure 24 hours service;

- Inadequacy of specialists for first referral units and for weekly visits in remote centers and over 20% PHCs without access to specialist care;

- Shortage of nursing staff and other paramedics in hospitals and sub-centres due to court cases and over 20% of sub centers without access to institutionalized delivery;

- Problems affecting efficiency and morale of health staff such as inadequate emoluments, traveling allowance and transport facility, livable accommodation, supply of frequently required medicines, equipment, physical infrastructure for outpatients and operation, power, water supply and sanitation facilities in health centers and sub centers;

- Opportunity for training and upgrading knowledge and skills at all levels, starting from post-graduate qualification for doctors to basic skills for nurses;

- Significance of links to anganwadis, potable water and sanitation;

- Levy of user charges and the evaluation of health management societies;

- Community outreach and participation including the involvement of elected local bodies in health care services; and

- Building capacity of cadre controlling authority

Public Works (Roads) as on 1-1-2005

Public Works Department (PWD) is an old institution, which originally included the present irrigation and flood control departments. The engineering service was later split into separate services for three departments, The Public Works Department (Roads Wing) is responsible for implementing various schemes of the Government relating to construction and maintenance of roads, State Highways, National Highways, North Eastern Council Works, rural roads and bridges under the World bank assisted project and Indo- Bangladesh Border Roads. The Chief Engineer (Roads) is in charge of a major portion of the work and the entire establishment. The department has recently set up a Roads Board for more flexible channeling of the funds for Prime Minister's Rural Road Scheme and maintenance. It hopes to follow the work under the earlier World Bank Project called ARIASP with the work on roads and markets under the Agricultural Competitiveness Project.

As in the case of all infrastructure departments, PWD faces critical constraints of funds and problems in filling vacancies. This has affected the maintenance of roads, bridges and buildings but less seriously than irrigation. The department depends mainly on funds released under central schemes, Northeast development and World Bank project. The uncertain flow of funds affects construction schedules. However, the department is making innovative efforts such as electronic tendering, quality assurance in roads, standard bid documents, merit-based performance assessment and computerized review of progress of works.

The issues affecting functional review in PWD include:

- Elaborating the consequences for manpower planning and utilization of transfer of border roads to a national organization, termination of works under the first World Bank project and low workload in maintenance;

- Adverse effect of consistent low allocation of funds for operation and maintenance on road quality and the utilization of engineering divisions;

- Lack of service rules for diploma holders, architecture wing and subordinate engineers;

- Isolated cadres of mechanical and electrical wings;

- Devising rational staff norms and working out required staff of different categories for projected workload and normalization of Plan posts;

- Optimizing the utilization of available technical manpower and divisions in relation to estimated quantum of work and working out the scope for redeployment across districts;

- Devising rational staff norms and estimating surplus manpower and deficient skills;

- Improving establishment control at departmental and different engineering levels through reforms in recruitment and service rules, computerized database and MIS;

- Estimating and dealing with the problem of regularization of work-charged and muster roll workers in the overall context of idle divisions;

- Career development, stagnation and effective use of available staff

- Evaluating the performance assessment procedures and merit-based promotion guidelines to ensure their transparent operation;

- Dealing with issues of transfer and employee morale and issues relating to districts in 6th schedule;

- Establishing computerized database of employees for effective personnel management and staff deployment; and

- Building capacity of PWD in the context of institutional development under the Agricultural Competitiveness Project and capacity building in planning, surveys, design, project preparation, quality assurance, material evaluation, maintenance management, financial management, contract administration, social and environmental education and human resource management.

Irrigation (as on 1-1-2005)

In specific terms, the Irrigation Department has the responsibility to provide four key services:

1. Developing plans for realization of irrigation potential i.e. Annual Irrigable Area (AIA)

2. Undertaking Major/Medium, and Minor schemes for harnessing irrigation potential

3. Ensuring full utilization of the realized irrigation potential through providing facilitating services such as development of field channels, energizing electricity operated pumps, repair and maintenance, and

4. Improvement of water use efficiency of created potential through planning and implementing Command Area Development programmes

The relevant issues for functional review include:

- The rationale for a separate department for water resources and the need for comprehensive approach to water resources and river basin management based on experience of other states;

- Budget crunch and fund shortage for completion of major irrigation projects and problem of full utilization of central grants due to insufficient counterpart funds;

- Inability of government to allot sufficient O&M funds with consequences for deterioration of major and minor irrigation works, release of water for agriculture and hydel systems;

- Lack of service rules for section assistants and subordinate engineer and pending amendment to other rules;

- Isolated cadres for mechanical and electrical cadres;

- Problem of winding up the Minor Irrigation Corporation and absorbing the staff or offering voluntary retirement;

- Continuance of idle divisions and regular staff because of inadequate budget provision under Plan and non Plan;

- Problem of regularization of work charged muster workers and implications for extra salary and pension expenditure and additions to idle staff;

- Lack of accurate database on regular and work-charged/muster roll staff;

- Old staff norms and need to project required staff requirements according to projected workload and fund availability in consultation with finance department;

- Opportunity for assessing surplus staff in grades III and IV;

- Identifying savings in staff and budget due to transfer of responsibility to water user association and local bodies;

- Unfilled vacancies of AEs and JEs;

- Lack of computerization for technical and non-technical operations;

- Performance assessment and merit-based promotions;

- Lack of facilities for entry and in-service training of technical staff;

- Transfer policy, tenure and issues of staff working in districts under 6th Schedule;

- Departmental inquiries and service litigation;

- Stagnation at different levels and addressing motivation and productivity of staff; and

- Building capacity of cadre controlling authority

Synopsis of Recommendations

- Education,
- Health & Family Welfare,
- Public Works
- Irrigation, and
- Personnel

Education Department:

1. The two departments of education and the directorates under them should undertake the following tasks for completion by end-April 2005:

   a. Draw up their respective Mission statements
   b. Prepare organizational charts
   c. Prepare job charts
   d. Enforce citizensøcharters
   e. Ensure adequate delegation and decentralization
   f. Develop mechanisms for swift grievance redress of employees and the public.
   g. Develop proposals for computerization that should be sent to the E-governance Mission.
   h. Develop proposals for training for submission to the Finance department for consideration under the ADB training budget.
   i. Prepare a manpower plan based on assessment of optimal staff levels and equalised deployment of teachers in elementary and secondary education subject to guidelines to be issued by Finance Department.
   j. Assess requirement of grades III and IV staff
   k. Develop proposals for redeployment of surplus staff

2. The government should provide the required counterpart funds to achieve the national goals in programmes like SSA and mid-day meals.

3. The issue of fragmentation of primary students and teachers among elementary and secondary education should be addressed through integrated legislation, structure and training.

4. The Department should determine if training should be insisted as a condition for recruitment or if training should be provided after appointment. In the latter case, the Department should develop a plan for augmenting training infrastructure.

5. The Department should ensure that no teacher is appointed without proper sanction.

6. Once government laid down the parameters for transfers, the officers should be allowed to deploy teachers according to requirement and equalize the PTR.

7. The Government should decentralize the management of elementary and secondary education and give greater control to user committees at the local level.

8. The Department should ensure that teachers get their salaries only if their presence and performance is certified by the School Management Committee or Gaon Panchayat.

9. The Department should check absenteeism by ensuring greater accountability of teachers to local committees and by sanctions for poor performance.

10. The curriculum of training should be revised on demand-driven basis.

11. The Department should examine the causes for inadequate supervision of schools and their low accountability.

12. The Department should examine the suggestion for the integration of educational administration at the district and block level and the abolition of the tier of deputy inspector of schools and also entrust greater responsibility for primary education to the Gaon Panchayats.

13. AARC should consider the proposal for merger of the Directorate of Adult Education with the Directorate of Elementary Education, and consider the absorption of the surplus staff arising from the proposed scheme for Open University.

14. The Department should examine the feasibility of utilizing the existing staff of the Directorate of Adult and Non-Formal Education in the continuing education programme, which is funded by the central government and implemented by a state level agency.

15. The empowered committee constituted by the government on de-linking colleges from higher secondary courses and integrated approach to college education should also address the issue of difficulties in filling 400 vacant posts in colleges because of UGC guidelines, and lack of incentives to teachers for upgrading their skills as they tended to focus on higher secondary courses which were supervised by the Council for Secondary Education apart from.

16. The Department should conduct a market study to determine the composition of disciplines in engineering colleges while increasing the intake.

17. The Department should examine the scope for private investment in technical education, while being conscious of regulation of quality and cost, and the socio-economic climate in Assam to ensure the ownership of industry, trade and other stakeholders.

18. The Department should examine the scope and justification for (i) enhancing cost recovery to improve infrastructure and facilities in colleges, which had deteriorated for want of budget provision, and (ii) meeting the needs of poor students by scholarship.

Health and Family Welfare Department:

1. The Department should take immediate action on the following areas and forward the plan to finance department and AR&T by April 2005:

   a. Develop a Mission statement and post it on the web site)after developing the site)
   b. Develop job chart for all categories of staff and officials and give wide publicity to the charts;
   c. Delineate and then publicise the organization chart;
   d. Frame and enforce the Citizens¢charter and for each of its sub-units;
   e. Develop the plan for e-governance and computerization and forward it to the e-governance Mission;
   f. Forward proposals for training and capacity building to the Finance and AR&T departments;
   g. The Minister¢s approval may be quickly obtained for the action plan on improved service delivery, manpower plan and training.

2. The Department should set up an expert committee to devise the staffing pattern and manpower plan for the health department.

3. The finance department should replace the present system of bi-yearly release of funds with monthly release of funds to ensure uninterrupted fund flow for disease control and other programmes.

4. The Department should take quick to implement the decision to encourage private participation in medical colleges and nursing colleges to address the problem of shortage of medical graduates that is expected to continue.

5. The recruitment freeze order of finance department should be relaxed for critical vacancies of health staff, and specialist positions should be approved in FRUs and hospitals to keep pace with demands of health care.

6. The Department should develop a plan, including a financial plan, for repair and renovation of PHCs, sub-centres, hospitals and other buildings as lack of investment in maintenance of infrastructure and equipment affected services to patients and the quality of medical education.

7. The Department should take steps to strengthen the district and hospital level management societies and utilize the user charges for essential maintenance.

8. The Department should ensure that the proceeds of user charges were used for non-salary items and led to efficient management instead of being diverted to salaries.

9. The Department should explore all options for outsourcing cleaning and other housekeeping jobs, pathological tests and maintenance of equipment on the model of West Bengal and other states.

10. The Department should ascertain reasons for lack of response from the private sector and NGOs for running PHCs and hospitals on contract basis.

11. The Department should urgently review the grade IV and III staff presently being utilized for cleaning and other housekeeping jobs, pathological tests and maintenance of equipment

12. The Finance Department should consider a scheme of providing matching funds against collection of user charges to enable outsourcing and use of proceeds for improved services and essential maintenance.

13. The Department should examine the scope for drawing on MLA and MP Development programme for health infrastructure in districts.

14. The Department should prepare a comprehensive assessment of training needs for all categories of staff with the help of Administrative Staff College and experts. The training plan should be forwarded within a month to the finance department for inclusion in the ADB training budget.

15. The proposals for training should be supplemented by proposals for study tours to other states for exposure to good practices, preparation of training manuals and documentation of good practices in the state.

16. The Government should be requested to approve the staffing pattern for the State Health and Family Welfare Institute, especially full time Director and faculty.

17. The Department should prioritise health expenditure. For this, the Deaprtment should:

    a. Devise a manpower plan
    b. Assess redundant non-technical aspects and
    c. Ensure optimum deployment of staff across districts and blocks.

d. Make efforts to staff the FRUs and PHCs with required competent staff

e. Make the available physical infrastructure and equipment functional to provide desired services to public.

Public Works Department:

1. The Department should undertake the following tasks for completion by end-April 2005:

   a. Draw up a Mission statement
   b. Prepare organizational chart
   c. Prepare job charts
   d. Enforce citizensø charters
   e. Ensure adequate delegation and decentralization
   f. Develop mechanisms for swift grievance redress of employees and the public
   g. Develop proposals for training for submission to the Finance department for consideration under the ADB training budget
   h. Prepare a manpower plan based on assessment of optimal staff levels and equalised deployment of teachers in elementary and secondary education subject to guidelines to be issued by Finance Department
   i. Assess requirement of grades III and IV staff
   j. Develop proposals for redeployment of surplus staff

2. The finance department should approach the World Bank to consider integrating the assistance available under its project and ADB in the larger interest of statewide compatibility for financial management and human resource management.

3. The Department should transfer salary expenditure under Plan to non-Plan to increase plan expenditure for development.

4. The Department should enforce the Planning Departmentøs recommendation of only taking up works that can be completed in three years.

5. The Department should rationalize the functioning of the Assam Roads Board with transparent guidelines.

6. The Department should clarify the implications of parallel reporting of technical officers to the Department and the Assam Roads Board and the replacement of present arrangements for executing works.
7. The Assam Roads Board should have its own and dedicated fund subject to proper oversight of utilisation.

8. The Department should appreciate the implications of adding to salary burden by regularization of work charge and muster roll workers whose current strength is around 8,000. The department should consider pursuing the scheme of performance-based contract and road management for maintenance of roads instead of relying on unskilled workers.

9. The department should, by end-April 2005, complete the assessment of manpower and divisions in relation to projected capital and revenue expenditure during the Tenth Plan period and identify redundant posts for further necessary action in line with policy guidelines to be issued by finance department.

10. The department should conduct a TNA with the help of AASC and address training needs at all levels, while drawing on the available funds in the World Bank project for rural roads. Entry-level training should be ensured even though the new entrants had better qualifications.

11. The Department should document the various initiatives taken by it in technical and personnel management areas so that the good practices can be extended to other areas through the efforts of AR&T, finance department and AASC.

12. The department should make efforts to deal with the public impression of quality and functioning of PWD. For this, the department should consider the adoption of practices like quality audit, three tier quality assurance practice (as under PMGSY), third party inspection and principles of national quality monitoring.

Irrigation Department:

1. The Irrigation Department should undertake the following tasks on a priority basis to be completed by end-April 2005:

   a. Prepare Mission Statement
   b. Prepare Job Chart, which should be a public document especially as it is required under the Right to Information Act
   c. Prepare Organization Chart indicting delegation of powers
   d. Develop Citizens. Charter and Quick Grievance Redressal Mechanisms
   e. Develop E-governance Plan for submission to the E-governance Mission
   f. Develop proposal for training and capacity building related to the state training policy and Training budget under the ADB Project

2. The department should priorities expenditure for optimum utilization of available funds.

3. In order to initiate action for zero-based functional audit and staff assessment, the Department should draw up an action plan by April 2005 to address the common and department-specific issues and obtain the approval of the Minister and the competent authorities for the plan.

4. All unfinished projects should be prioritized in keeping with the guidelines and criteria issued by the Planning Commission and the feasibility of early completion determined. Finance and Planning Departments should consider funding them to the extent possible. Planning Commission supports the completion of projects in order to minimize the waste of funds locked up in these projects.

5. Asset Protection and Management are critical issues that must be addressed by the Department on a priority basis while addressing incomplete projects and the provision of adequate resources for maintenance of completed projects. Finance department may consider the sanction of a professional study of operation and maintenance of irrigation projects as advised by central government.

6. The Department should examine the feasibility of handing over maintenance of canals and tube wells to User Groups to reduce staff requirements and increase user involvement.

7. The department should formulate guidelines for Water User Associations in preparation for the passage and notification of the

legislation. The department may study the progressive examples of Andhra Pradesh and Maharashtra.

8. The Department should abolish the vacant posts and deal with the surplus staff according to the norms followed for other PSUs.

9. The Department should review the rationale for different posts in grades III and IV with similar functions but multiple designations and propose abolition of redundant cadres.

10. The Department should establish revised staffing norms after studying examples of other states. For this, the department should conduct a study by end April 2005 on staff requirements and the workload of divisions in keeping with the budget availability and staffing norms, and then inform finance department about the surplus staff.

11. The Department should consider the option of abolishing the redundant positions and either continue the incumbents till retirement or to transfer them to the surplus staff cell and then offer them attractive VRS as envisaged in states like Karnataka.

12. Personnel department should formulate rules to elaborate the provision in the FR for flexible deployment and posting of employees across departments and levels of administration in the course of staff rationalization, while finance department should review the rationale for multiple scales for posts with similar tasks to facilitate flexible deployment.

13. The Finance department should issue comprehensive guidelines for all departments regarding the identification, constitution of the surplus staff cell in the finance department and the redeployment of surplus staff. The department could study the suggestions and draft circulars contained in the consultant reports.

14. The Department should reconsider the rationale for regularisation of work-charged and muster roll workers, given the low workload and additional liability of salaries and pensions.

15. Finance department should review the current orders for regularization of work-charged workers appointed before and after April 1993 after studying the recent Supreme Court orders. The Finance Department should develop a verified inventory of work-charged workers.

16. The Government should consider the option of paying statutory compensation to the workers appointed after April 1993 in conformity with law rather than consider their absorption into permanent cadres.

17. Service rules for subordinate staff should be formulated early by the Department.

18. The Department should request the Personnel department for early decision on amending service rules for JEs.

19. The performance assessment system and procedures for merit-based promotion should be revised in line with PWD experience.

20. AR&T should take early action to revise the ACR format and introduce technical supplements for individual departments to reflect specific requirements.

21. The Department should ensure prompt and credible writing of ACRs and make the process transparent and participatory.

22. Tendering procedures and systems should be reviewed and e-tendering introduced on the model of PWD.

23. The finance department should consider the upward revision of ceiling on financial powers with chief engineers and lower officers for approval of tenders and purchases related to works.

24. Training plan for technical staff based on training needs assessment should be prepared. The proposal for training and study tours should be sent early to finance department and AR&T for incorporation in the training budget.

Departments of Personnel and A. R. & Training

1. The existing Department of Personnel should function as Department of Human Resource Management by consolidating the existing departments of Personnel, AR&T and Secretariat Administration as well as the responsibility of General Administration department for district establishment. This would restore the original scheme of the department till the 1970s and provide an integrated focus for human resource management.

2. The existing establishment and capacities of the departments of Personnel and AR&T, including the capacity of senior officers, to implement the series of critical actions recommended in the functional review, should be strengthened.

3. AR&T should devise an optimal establishment schedule of each department on the basis of objective norms like receipts, number and nature of schemes, expenditure, agencies supervised etc., and then get the schedules approved by respective ministers and the Cabinet following consultations with finance, personnel and concerned departments. These schedules should form the basis for departmental budgets, assignment of staff and the assignment of staff for the revised set of departments following restructuring.

4. In line with existing policies for staff containment, AR&T should review and assess fresh proposals for creation of new departments with reference to the impact on duplication, functional overlap, fragmentation of cadres and parallel delivery mechanisms.

5. The capability of the Secretariat Training /school should be improved with the help of AASC. SAD should prepare a TNA for the secretariat staff, revise the curriculum and arrange for systematic training of all functionaries.

6. The existing transfer policy that recognized the institution of civil service board, the principles of minimum tenures and objective principles for transfer of officials, and the requirement of submission to chief minister for premature transfers, should be enforced, and Rule 4 of the PSC regulations which permitted ad hoc appointment and promotion should not be misused.

7. The representative of Personnel department should be trained in the promotion rules and procedures of all departments to ensure conformity of the DPC recommendation with prescribed rules and guidelines.

8. The Government should evolve objective parameters for recruitment, transfer and promotion based on best practices and audit the compliance by personnel audit similar to financial audit, submit the findings to the Chief Minister and give wide publicity to the report. This will ensure accountability of officers for performance and compliance with objective norms.

9. The Personnel Department should ensure time-bound submission of all employee database forms (A, B, and C) by denying the payment of salaries if forms are not submitted by respective DDOs before the end of March 2005.

10. The department of AR&T should be strengthened and necessary staff appointed for implementing various elements of civil service reform and amendments to secretariat manual.

11. The Departments of Personnel and AR&T should formulate proposals for engaging consultants and utilizing professional institutions for implementing a work plan relating to regulatory changes, revision of manuals and fixation of staff norms. This plan could form a part of the ADB budget for capacity building.

12. AR&T should formulate a training plan for all categories of staff with the help of AARC and then monitor the impact of training on the basis of the employee database. The details of the plan could be incorporated in the proposals for utilization of ADB training budget.

13. The departments should forward the proposals for training budget to the Finance Department for consideration under the ADB training budget.

14. Functioning of the Staff College should be more autonomous.

15. Five percent of total establishment budget should be earmarked by finance department for training as envisaged in the national training policy.

16. The faculty composition of the staff college should be revised to include senior staff with technical competence to train technical cadres.

17. IT infrastructure should be improved for MIS and employee database.

18. Mission statements for the departments (Personnel, SAD, and AR&T) and the agencies under them such as PSC and AASC should be developed.

19. Organizational charts and job charts should be developed by the departments (Personnel, SAD, and AR&T) and the agencies under them such as PSC and AASC.

20. The departments should enforce citizensøcharters.

21. There should be adequate delegation of powers and mechanisms for swift grievance redress of employees and the public.

22. The departments should develop proposals for computerization that should be sent to the E-governance Mission.

23. The departments should draw up a manpower plan for their establishment as well as for the secretariat based on assessment of optimal staff levels.

24. The department of Personnel and AR&T, should develop by March 2005 an implementation plan and timeline of actions with details of agency roles, agreed responsibilities, milestones and requirement of resources. Consistent with present capacities and staff, the two departments should formulate a set of immediate doable actions such as database, establishment schedules of departments, revision of manuals and rules and the training plan, and then identify the professional help and budget required to implement some of these actions. Similar action should be undertaken by the other four departments.

Next Steps
in
Administrative Reforms

Next Steps in Administrative Reforms

Chairman AARC convened a series of meetings from January 27 to February 2, 2005, to discuss the recommendations contained in the reports of the ADB consultants on functional reviews, civil service reform and organizational restructuring. The recommendations arising from the meetings with departments of Education, Irrigation, Public Works, Public Works, Personnel and AR&T are contained in the Annex.

The context for implementation of the recommendations is found in the fiscal and governance goals of Government of Assam, the guidelines of central Ministries and the policy matrix of the ADB loan for Governance and Public Resource Management. The policy and programme areas arising for collective consideration of government in the light of the department-level meetings and the proposed agenda for change are as follows.

Action Plan for Reform

All the departments and the agencies under them should undertake the following tasks for completion by end-April 2005:
a. Draw up their respective Mission statements;
b. Prepare organizational and job charts and give them wide publicity through web sites and media;
c. Initiate action for zero-based functional audit and manpower assessment to address the common and department-specific issues and obtain the approval of the Minister and the competent authorities on agreed areas of action;
d. Ensure adequate delegation and decentralization with due regard to 73rd and 74th amendments;
e. Formulate and enforce citizens' charters, along with mechanisms for swift grievance redress of employees and the public and better internal communication and information access to public;
f. Develop plans for computerization and send them to the E-governance Mission.
g. Develop proposals for training for submission to the Finance department for consideration under the ADB training budget.

Staff Rationalisation

Consistent with the agreed replacement ratio and the decisions of SLEC, all key departments should:
- Finalise action for winding redundant agencies and corporations and the redeployment of staff, such as MI Corporation;

- Work out optimum number and deployment of staff in line with available funds, staff norms, and equitable distribution of staff across districts and blocks and set up, if necessary, an expert committee for this purpose;
- Review the rationale for different posts in grades III and IV and the posts sanctioned against Plan schemes in the past;
- Abolish the redundant positions and, in case of serving staff, either continue the incumbents till retirement or to transfer them to the surplus staff cell and then offer them attractive VRS;
- Formulate rules for flexible deployment and posting of employees across departments and levels of administration;
- Consider issue of comprehensive guidelines regarding filling critical vacancies, redeployment of surplus staff and review rationale for regularization of work-charged and muster roll staff.

Fund Flow

Finance and Planning departments should ensure
- Provision of counterpart funds in time and timely release of central and state shares to departments for various schemes;
- Allotment of adequate funds for maintenance of roads, buildings, irrigation sources and other facilities to ensure asset protection and service quality;
- Timely approval of schemes and expenditure proposals;
- Levy of user charges and their utilization for essential maintenance and improved services;
- Wider avenues for public-private partnership, decentralized management and outsourcing subject to protection of public interest and service quality;

Personnel Management and Civil Service Reform

Government may consider the following:
- The Department of Personnel should function as the Department of Human Resource Management by consolidating the existing departments of Personnel, AR&T and Secretariat Administration;.
- Approve an optimal establishment schedule of each department on the basis of objective norms and utilize it as the basis for departmental budgets and the assignment of staff with guidelines for annual updating;
- Extend to each department the transfer policy contained in the 2002 circular of Personnel department and ensure the effective operation of civil service board;

- Evolve objective parameters for recruitment, transfer and promotion based on best practices and ensure accountability of officers for performance;
- Implement objective and transparent system of performance assessment along with a credible regime of rewards and sanctions;
- Formulate time-bound plan for the simplification and streamlining of rules, manuals and procedures relating to personnel management;
- Strengthen AARC for implementing exercises for functional reviews and the AR&T for administrative reform and training;

Employee Database
- Ensure the early piloting of the digtitised database for ACS/IAS and finance staff;
- Implement the exercise for installing digitized database for all employees within a year with penalties for non-compliance;

Training and Capacity Building
- Development of plans and submission by all key departments, including finance, personnel and AR&T, for TNA-based training and capacity building besides necessary analytic studies for effective implementation and improved service delivery;
- Quick finalization by FMU of the proposals for utilization of the ADB training budget with due regard to proposals from AARC, AR&T and departments;

Way Forward

Under the guidance of AARC, all departments should develop by March 2005 an implementation plan and timeline of actions with details of agency roles, agreed responsibilities, milestones and requirement of resources. Under guidance of AR&T, they should identify the professional help and budget required to revise manuals and rules, prepare manpower plans, devise staff norms and undertake training.

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Annexure I

The Synopsis of Recommendations of the Surinder Nath Committee on õSystem of Performance Appraisal, Promotion, Empanelment and Placement for the All India Services and other Group ÷AøServicesö

Synopsis of Recommendations of the Surinder Nath Committee on the system of Performance appraisal, Promotion, Empanelment and Placement for All India Services and other Group 'A' Services

1. The Department of Personnel & Training (DoPT) constituted a group, in December 2002, under the Chairmanship of Lt. Gen. (Retd.) Surinder Nath, former Chairman of the UPSC, to review and make recommendations with regard to the present system of performance appraisal, promotions and lateral movement in respect of the All India Services and other Group A services. The terms of reference of the Group were as follows:

- To comprehensively review the present system of recording Annual Confidential Reports so as to bring greater transparency and efficiency in order to motivate good officers.

- To develop a system of recording of ACRs so that better performance or lack of performance gets properly and fairly reflected. There is need to bring about a culture where a superior officer does not hesitate in recording the weakness in an officer merely due to the possible ÷risk∅ of having to convey adverse remarks and subsequently respond to the representation received against adverse entries.

- To evolve a new system for performance appraisal looking at practices being followed elsewhere, particularly in the Defense Services, some of the leading corporate houses, some multi-lateral organizations as well as the Civil Services of some other countries.

- To make recommendations/suggestions for a performance appraisal system for the All India Services and subsequently, for the Group ÷A∅ Central Services.

- To review the present system of promotion of All India Services and other Group ÷A∅ officers, at the level of Joint Secretary, Additional Secretary and Secretary to the Govt. of India (and their equivalents), to ensure greater transparency, objectivity, and more clearly defined linkage with the performance appraisal system.

- To make recommendations for establishing more clearly defined linkage between the performance appraisal system and the background and experience of officers at these levels, and their

lateral movement, in respect of All India Service, and other Group –Aø Services.

2. Given the short time available, the Group focused attention on the All India Services. While the recommendations of the Group would broadly apply to all the other Group –Aø services, a separate detailed exercise would be necessary to factor in the individual service characteristics.

3. The recommendations of the Group are in two parts, the first relating to the system of performance appraisal and the second to promotions and placement (including empanelment and posting)in the Central Government, under the Central Staffing Scheme.

Performance Appraisal System:

Objectives:

4. Given the rapidly evolving challenges of public management, the present objectives of performance appraisal need to be widened and deepened to respond to the emerging needs of governance. In this context, performance appraisal cannot serve only as a tool to assess suitability for vertical movement, but should be primarily used for the overall development of an officer, and for his placement in an area where his abilities and potential can be used to best advantage. There is, thus, a need for a paradigm shift in the philosophy of appraisal and the objectives should be the following:

- To make an assessment of the officerøs professional capabilities, with a view to determining capacity building needs and suitability for particular areas of responsibility/ assignments. (Training and Placement Function)

- To counsel the officer on directions for improving performance, professional capabilities, and conduct with peers, juniors, elected representatives, and the general public (Feedback and Counseling Function)

- To be a tool for developing a work plan for the year (Planning of work function)

- To make an objective assessment of the officerøs performance in the current assignment, including performance in training, study courses

and deputation outside the government, based on monitor able inputs, relative to his/her peers, with a view to determining suitability for higher responsibilities and special assignments. (Promotion Function)

- To identify genuinely exceptional work accomplished, including innovations, with a view to giving due recognition (Recognition Function)

- To enable officers to identify systematic shortcomings in the organization with a view to improving governance standards (Strengthening Governance Function)

5. At the beginning of each year, each appraise and his reporting officer would prepare a work plan for the coming year, setting forth the key tasks to be accomplished in order of priority, the specific deliverables for each task (in quantitative/financial or qualitative terms) and the key assumptions made in arriving at the plan. This work plan would be updated at mid year, to take account of changed circumstances, if any. The initial and mid-year work plans would be filed with the review officer.

Better monitoring and scrutiny through computerization:

6. A delay in recording appraisal reports is a major weakness in the current system. In order to have such an effective system of monitoring, it is, first of all, important to assign overall responsibility for monitoring and maintenance of the performance appraisal dossiers to one agency. It is recommended that the monitoring function be assigned to the respective cadre controlling authority. In respect of the All India Services this may assigned to the cadre controlling authority in the Central Government, who, in turn, would work through the cadre controlling departments in the State Governments.

7. The agency assigned the responsibility of monitoring the timely writing of annual performance reports should then put in place a computerized system for more effective monitoring. Computerization would be useful for the following purposes:

- Monitoring the timely writing of the appraisal report by the appropriate Reporting and Reviewing Officers.

- Facilitating the development of a master data sheet (MDS), which could be used by any promotion/ screening committees, for various personnel actions.

- Providing assistance to promotion/empanelment committees in accounting for systematic variations in grading standards across different State cadres of the same service, and identifying inconsistencies between overall grades for individual attributes.

- Aggregating numerical scores on the basis of frequency distribution or fuzzy set analysis.

- Drawing panels/shortlist of officers for specific assignment/ training programmes.

- Maintaining an effective database of officers, that can be tapped for various purposes.

Staggering cut off dates:

8. Another useful method of ensuring that the PARs are written in time is to require higher levels to certify that they have initiated the reports in respect of their subordinates, while submitting their own self-appraisals. To facilitate this, staggering cut off dates for report writing at different levels should be introduced. While the period of report may remain the same, i.e., 1st April to 31st March, the cut-off dates by which the different stages of the performance appraisal system should be completed could be staggered. The Group has suggested a calendar of the cut-off dates.

Need for greater openness:

9. Three issues are silent in this context: (i) to disclose or not to disclose (any part of) the PAR, and if disclosure is preferred; (ii) to disclose õeverything but the overall gradeö or õeverything including the overall gradeö; and (iii) stage at which disclosure should be made.

10. The Group, after weighing the pros and cons of the various options, favours disclosure of the entire PAR, including the overall grade. The disclosure should only be after review by the Reviewing Officer.

11. the appraise may be given the option to give his comments on the PAR, which may, however, be restricted to the specific factual observations made by the reporting and reviewing officers. In case the appraise

submits any comments. It would be open to the reporting and reviewing officers to accept the comments of the appraise and modify the PAR accordingly. In case they do not accept the representation of the appraise, the same, along with the entire report (and the comments by the reporting and reviewing officers, if any,) may be placed before a designated õ Referral Boardö who would consider the matter and make any changes, as considered necessary in any part of the PAR, including the overall grading.

Numerical Grading:

12. A system of numerical grading may be introduced for evaluating the work output, the personal attributes, the functional competencies and the overall assessment. These may be done on a 1-10 scale, with 1 referring to the poorest grade and 10 to the highest.

State of Health:

13. In order to ensure that health/ physical fitness aspects are given due consideration in making placements, it is necessary that information on the state of health should be provided by a formal medical examination, (rather than non-professional impressions by the reporting officer). Accordingly, a comprehensive health check up, at least once in two years, should be insisted upon. Summary of the medical report, should be placed in the PAR dossier.

"360 degree" reporting:

14. as yet there is no established modality for evaluation of an officerøs performance and qualities by peers, subordinates and clients (termed 360 degree assessments). The group considered that it would be useful to supplement the formal PAR regime with an institutionalized means of ascertaining the reputations of civil servants, consistent with our culture and ethos. Accordingly, each cadre controlling authority may, <u>at its discretion,</u> set up a õ Eminent Persons Groupö (EPG) whose names would be kept strictly confidential), i.e. persons of acknowledged character and wisdom who clearly do not (no longer) have any personal stakes in the civil service career of anyone in particular. The EPG may, through appropriate means (e.g. discreet personal enquiries or more structured surveys) ascertain from range of peers, juniors, and clients (e.g. public representatives, media persons, NGO functionaries, business persons, etc.) the reputation (in respect of financial and moral integrity), professional competence, attitudes, and personal qualities of each civil servant of the concerned cadre once every five years, starting

from the 10th year of service. It would set out their findings in a confidential report to the concerned cadre controlling authority. This information may be compiled separately from the PAR dossier, and may be useful in the following contexts, besides others:

(i) Placements to sensitive or special appointments.

(ii) Counseling officers at 20 years of service or 50 years, whichever is earlier, regarding the advisability of their accepting VRS.

(iii) Confidential counseling of officers regarding their attitudes or conduct (e.g. with respect to juniors or public representatives), or activities that have a bearing on moral or financial integrity, so that they may remedy themselves.

Personal Dossier:

15. The cadre controlling authority should maintain a comprehensive personal dossier on each officer, which should comprise of the following documents:

- A curriculum vitae of the officer, to be updated by means of the annual PAR and a five yearly CV update submitted by the appraise.

- The set of PARs earned in service throughout one's career

- The set of PARs (or similar appraisal) earned by the officer on deputation on foreign service to organizations outside the Indian governmental system.

- The set of records of performance from the concerned institution during training and academic courses attended, including while on Study Leave.

- Reports of biennial medical check ups.

16. The Curriculum Vitae may comprise of the following sections:

- Section I: Personal Data

- Section II: Academic and Professional Qualifications

- Section III: Professional Publications Record:

- Section IV: Work Experience (Job content of position held):

- Section V: Exceptional work accomplished/Recognitions earned and reprimands/strictures / penalties received

Structure of the PAR:

17. Only two sets of proforma may be used for the All India Services. One proforma would apply for all levels equivalent to that of the Chief Secretary (in the case of IAS)/ Director General of Police (in the case of IPS)/ Principal CCF (in the case of IFoS). For the remaining levels there would be a second proforma. The recommended proforma are included in the report.

18. The base format, applicable to the levels that fall below the top levels would comprise of the following four sections:

Section I	Basic information
Section II	Self appraisal
Section III	Appraisal
Section IV	Review

Section II would require the appraise to indicate his achievements against the pre-set work plan as well as achievements against unforeseen tasks during the year. He would be required to identify and comment on any one significant contribution made by him in some detail. He would also be required to indicate his training and skill up gradation needs.

Section III would require an assessment of his work output as well as a series of personal attributes and functional competencies. It would also require a descriptive pen-picture to be recorded to highlight any other features that are not reflected in the rest of the appraisal. Finally a numerical overall grade is to be given.

Section IV would require a review on more or less similar lines, i.e. assessment of the work output/personal attributes/functional competencies as well as recording of a pen-picture and an overall grade.

19. Due to shortage of time the Group has not been able to design suitable proforma for the other Group ÷Aø Services. However, it is suggested that individual cadre controlling authorities may adopt the proforma

suggested for the All India Services, with some minor modifications as may be required to reflect service specific requirements.

Calendar:

20. The suggested schedule of cut-off dates (deadlines) for various activities in the performance appraisal system has been given in the main body of the report in Chapter VI.

Promotions, Empanelment & Placements:

21. At Junior levels, when officers are in the formative years of their service careers, they should be guided, counseled and trained so as to help them realize their full potential. Promotions should be assured to them, subject to generally satisfactory performance, and may be on a time-scale basis. However, as the officer grows in service and is to be considered for positions dealing with policy and program formulation and implementation, there should be deep selection and only those who can demonstrate a creditable record of actual performance, and possess the necessary knowledge and skills required for higher responsibilities, should be promoted. Promotion norms should be stringent and the process of promotions based on merit and competition rather than on simple attainment of a-priori benchmarks.

22. Another consideration in redesigning the promotions system is that officers must be evaluated not only on their performance in the feeder (lower) positions, but also in respect of their level of preparation by way of acquiring the necessary skills and knowledge for the higher level positions.

23. The Group addressed the following issues:

1. The composition of the Screening Committee ó it should be in a position to resist pressures to promote certain favored candidates who otherwise lack merit.
2. Models for the promotion process.

Composition of the Screening Committee in States:

24. With a view to enhancing the credibility and impartiality of the Screening Committee, involvement of a senior officer from outside the State cadre is recommended. The composition of the Screening Committee may, therefore, be the following:

For thelevel of	Current composition	Recommended composition
Super Time Scale	• Chief Secretary • Two principal Secretaries of the State	• Chief Secretary • Officer of the rank of Principal Secretary or higher, of the relevant service, serving in the state • Representative of Govt. of India at the level of Additional Secretary, not belonging to the state cadre and not domiciled in the state
Principal Secretary Grade	• Chief Secretary • One senior most officer working in the grades of Chief Secretary and Principal Secretary	• Chief Secretary • Senior most Officer other than the Chief Secretary, of the service concerned and serving in the state, being himself at least in the in the Principal Secretary's grade. • Representative of Govt. of India at the level of Secretary to Govt. of India, not belonging to the state cadre
Chief Secretary	• Chief Secretary • One officer in this grade working in the State • One Officer in this grade of the cadre, serving in the Government of India, in the grade	• Chief Secretary • Senior most officer of the cadre and concerned service, other than Chief Secretary, serving in the state or outside, except when such officer is himself not in the grade of Chief Secretary. • Representative of the Government of India, at the level of Secretary to GOI, not belonging to state cadre or domiciled in the state

Similar changes may be made in respect of promotions in the IPS and IFoS.

Models for promotion:

25. Two models may be considered for the process of promotions to the super-time scale and above. Both models are based on the principle of merit cum seniority, with the zone of consideration taken as (1.5 n + 2) officers, rounded off to the next higher integer (n = number of anticipated vacancies). The difference between the two models lies in the assessment parameters and basis for evaluation, as explained below:

Model A

In this model the criteria and process for selection for the higher positions may be the following:

- Satisfactory completion of all the required training programs (including approved substitutes) for the higher positions

- Evaluation of performance appraisal reports of the last 10 years, which should be moderated to ensure consistency between 1[1]:

1. The overall grading secured
2. The assessment against work performance
3. The assessment against different attributes
4. The pen picture of the officer

- The evaluation of the PARs should yield a single score on a 10 point scale (the   higher the better) for each candidate officer. This may be the mode or preferably   the median, but not the average, of the moderated scores, as evaluated above.

- Officers may be identified for selection, starting with the officers attaining the   highest score, and moving down, until the number of anticipated vacancies is   (just) reached.

- The merit list of officers may then be arranged in their order of inter-se seniority for promotions in turn against vacancies.

The cases of such officers who are not included in the merit list in a given year may be reconsidered after a period of two rears, i.e. after two more annual PARs have been added to their dossiers, and they have qualified in the required career courses (if not done earlier).

The case of each officer may be considered three times in all (once as a fresh case and twice under reconsideration). After three unsuccessful attempts, the officer need not be considered for promotion any further. (

For promotions to the grade of Chief Secretary in the States cases would be reconsidered in each subsequent year, i.e. after one year's PAR has been added to their dossier.

Model B

In this model, a greater emphasis is placed on acquisition of necessary skills and experience for the higher positionsthan in the case of model A. The following evaluation criteria, with corresponding weight for each, may be adopted:

1. An evaluation of the officer from his performance appraisal reports (including performance in positions outside the Indian Governmental system) for the last 10 years – weight of 50%

2. "Richness of work experience", as determined from his entire service record – weight of 20 %

3. Evaluation of significant achievements or failures ("critical events") in his entire service period – weight of 5%

4. Acquisition of formal professional skills for the higher positions – weight of 25%

The evaluation from the performance appraisal reports would primarily be an assessment made from his overall grades and the ratings against the work output, different attributes, remarks from the pen picture, etc. as for Model A. The *richness of work experience* would be an assessment of the job content of his previous assignments that would contribute towards his ability to perform in the higher position by way of experience based skills and knowledge. This would involve the substance of job content (i.e. discounting for purely staff jobs, enhanced weightage to substantive field or secretariat positions), sufficient but not excessive diversity of job content (i.e. avoidance of long-periods spent in a single sector or type of position, or insufficient time spent in a large number of different sectors), as well as sufficient focus on particular sectors (e.g. education, tribal welfare, public finance [IAS]),or roles (e.g. crime detection, intelligence, security [IPS]; silviculture,wildlife management [IFoS]). The significant achievements or failures ("critical events") would primarily relate to out-of-the-ordinary positive or negative achievements, which may also have been recognized though rewards or penalties from the relevant authorities or agencies. 2[2] The assessment of skills for the higher assignments would be based on his successful efforts at improving his relevant formal professional qualifications, including career training

after relevant study/training programs, including those pursued during study leave, and his portfolio of published research, all of which would be reflected in his CV. Actual performance in these efforts and not simply the fact of successful completion, would be taken into account. The weights proposed for the different criteria of evaluating merit reflect equal consideration to performance in the lower grade and extent of preparation for higher level responsibilities. 75% of the total weight arises from information available in the PARs.

As in the case of Model A, officers who are not selected in the first attempt, may be reconsidered up to twice more, provided that they have earned at least two year's PARs in the interim for super-time and Principal Secretary scales, and at least one year's PAR for higher levels and/ or enhanced their relevant formal qualifications.

> Comment [u1]:

26. The models that may be adopted at the different functional levels in respect of the different All India Services may be as follows:

Functional Level	IAS	IPS	IFoS	Model
Super-time Scale	Commissioner	Inspector General of Police	Chief Conservator of Forests	A
Principal Secretary Grade	Principal Secretary	Additional Director General of Police	Additional Principal Chief Conservator of Forest	B
Chief Secretary Grade	Chief Secretary	Director General of Police	Principal Chief Conservator oF Forest	B

27. The proposed system can not be introduced immediately, as time would have to be given for officers to take necessary action to upgrade their skills and for the requisite training programs to be put in place. Hence, in all cases where Model A is to be adopted for promotions, a period of three years may be allowed before the new system is implemented. Where, Model B is to be used, a phased process of implementation may be introduced so that officers may have reasonable time to prepare for the new system. A graduated weightage for different aspects, during this transition period, has been recommended.

Screening deadwood

28. There is no benefit in retaining in service officers who lack demonstrated competence, or who are unqualified, or of doubtful moral

or financial integrity or who are in unacceptably poor health. It is accordingly important that an effective system of screening such officers be put in place. Provisions already exist for the compulsory retirement of those who have completed 50 years of age or 30 years of service[3][3]. However, This provision has not been adequately utilized so far.

29. In order to implement the system, a Standing Committee may be set up under the Cabinet Secretary, which should, by a given date each year, review the records of all officers who have reached the age of 50 years, or have completed 20 (twenty) years of service. These records would comprise the Performance Appraisal Reports, report of performance in specified career courses, results of vigilance enquiries, *in personum* court proceedings, and disciplinary proceedings, faced by the officer in his/her career. It would also include a statement of pending proceedings in each of these categories.

30. The following norms may be adopted for identifying the officers to be screened out.[1]

    1. An officer who has failed to make the select list for promotion to the next higher grade 3 times.

    2. An officer who has encountered 3 proceedings resulting from vigilance enquiries (i.e. major disciplinary proceeding, or criminal proceeding in court)in respect of alleged lapses moral or financial integrity in the course of his/her career, *even if the officer is cleared on completion of the proceedings in each of these*, may be screened out as lack of moral or financial integrity would be considered as "highly probable" in his case.

    3. An officer who has failed 3 times to qualify in the requisite career course(s) for his next promotion.

    4. An officer who is permanently medically unfit to perform the normal duties of the service, as revealed from the biennial medical examination.

31. Officers screened out should be informed of the fact and advised that they may, *if they wish,* avail of a voluntary separation package (as already available to surplus staff). If they choose to remain in service, their cadre controlling authorities would be advised of the findings of

the Standing Committee, so that the same may be appropriately taken into account in planning future postings of the officer.

32. A second review may be carried out after a further period of five years, i.e. after the officer has completed 25 years of service or 55 years of age. If the performance of the officer does not show any marked improvement and the chances of further career advancement continue to be dim, the available provisions for compulsory retirement should be invoked.

Career Courses

33. The job profile of an IAS officer undergoes significant change as the officer moves from program implementation levels in the first few years of his career to program formulation and policy making levels in subsequent years. It is, therefore, essential that all services must specify career training programs, which would equip an officer with the necessary skills for positions likely to be held in the next 9-10 years. Accordingly compulsory training programs at suitably timed in-service levels would be necessary so that the performance in these programs could be taken into account for the next promotion.

34. These career-training programs would need to be more rigorous and of greater duration than the one/two week programs currently being offered to IAS officers. Performance in these programs must be evaluated in terms of the norms followed for professional training programs.

Empanelment and Placements in the Government of India

Domain Assignment

35. Assigning particular domains to officers is a key step in accomplishing this objective. The following 11 domains may be adopted for assignment to officers selection to Central standing Scheme posts:

1. Agriculture and rural development]
2. Social sectors (Education, Health, Tribal Welfare, etc.)
3. Culture and Information
4. Natural Resource Management including Environment (green side)
5. Energy and Environment (brown side)
6. Communication systems and Connectivity Infrastructure
7. Public Finance and Financial Management
8. Industry and Trade

9. Domestic Affairs and Defense
10. Housing Urban Affairs
11. Personnel and General Administration, Governance Reform and Regulatory systems

Officers may be assigned to a maximum of three domains out of the eleven given above.

36. The assignment of Domains may be part of the empanelment process at JS/AS levels, which would identify officers for posting to the Govt. of India at levels of JS and above. Officers impaneled as Secretaries to GoI may carry their Domain assignments at the AS level empanelment, unless there is a significant change in their qualifications or work experience at the AS level. Officers due for consideration for empanelment may submit write-up (not more than 1000 words), summarizing their experience, academic background, training courses undergone, research accomplishments, recognitions relevant to the Domain areas, and significant achievements during their career relevant to these areas. These write-ups may be scrutinized by the Empanelment Committee which may be assisted by several eminent ac academics/experts in the respective fields for evaluation of work experience, academic and training courses undergone, research accomplished, etc. The Committee would evaluate the claims of the officers to specific Domains, which may be accepted or denied.

Empanelment

37. Since empanelment is a select list of those who have already been promoted in their respective cadres, for manning positions of great responsibility, the criteria of empanelment have to be more stringent than that for promotion. Accordingly, the following recommendations are made:
   1. The output of the empanelment process would be list of officers found suitable for selection to specific positions under the Central Staffing Scheme, together with their respective Domain assignments. All empanelled officers must be informed of the fact of their empanelment, including Domain assignment.

   2. Individual batches may be taken up sequentially along with those from previous batches who are due for review. Thus, there would be a fresh batch to be considered each year and some review batches. Cases of such officers who are not empanelled when their batch is taken up for consideration on the first occasion, may be reviewed up

to twice more. Before each review, for the Joint Secretaryøs level, an officer should have earned two more annual PARs and for higher levels one more annual PAR.

3. A norm of empanelling not more than 50% of the officers of the fresh batch, for the Joint Secretary level, should be adopted. All the non-empanelled officers of the review batches, who secure higher overall scores in the evaluation, copared to the last empanelled officer of the fresh batch, may also be empanelled. Thus, the percentage of empanelment within a batch may go over 50% after the review stage. The percentage of officers of the fresh batch empanelled at higher levels would be lower, and would need to be worked out on the basis of the likely vacancies as well as a cushion to allow meaningful selection for particular positions depending upon skills and background.

4. In awarding scores to each officer for empanelment at all levels, the formulation suggested in Model B for promotions may be adopted, with the same transition provisions, except that the zone of consideration would not be (1.5 +2), but the entire batch and review cases from previous batches.

5. The UPSC should be involved in the empanelment process and should include an interview. The interview would validate the claims of skills for the higher position, and would not be a personality test

6. The empanelment committee should be chaired by the Chairman/ member of the UPSC and should include atleast two eminent professionals and other suitable senior officers as may be agreed between the Cabinet Secretary and Chairman of the UPSC.

7. The exercise of domain assignment should be done first and then followed by evaluating suitability for higher positions (both being components of the empanelment process). The domain assignment when the officer was first considered for empanelment may hold at the review stage also, unless the officer has made a specific request for reassignment of the domain.

8.. The approval of ACC should be obtained for the entire output of the empanelment process, i.e., suitability for the higher positions and Domain assignment.

Placement

38. For selection to particular positions under the Central Staffing Scheme, at the level of Joint Secretary and above, the following procedure may be adopted:

- Step 1: Notification of vacancies likely to arise in the course of the forthcoming year

- Step 2: Identifying the relevant Domain Competency and job requirements for each post.

- Step 3: Publication of the list of vacancies and invitation of interest from prospective candidate officers of up to 3 specific positions

- Step 4: Generation of long-lists for each position, on the basis of interests expressed and the assigned domains

- Step 5: Generation of Short-Lists by the CSB by matching the requirements of the position with the specific backgrounds and experience of the officer

- Step 6: Final Selection for the post by the ACC

Annexure II

Main Recommendations of
the P. C. Hota Committee Report
on Civil Service Reforms

**Main Recommendations of the P.C. Hota Committee
on Civil Service Reform**

1. To mould young entrants for the higher civil service through training, government may go back to the period from 1948 till 1971 when the age of eligibility was 21-24 years for general candidates (as against 21-30 years for general candidates at present) with five years age concession for members of the Scheduled Castes/Scheduled Tribes. Age concession for candidates of the Other Backward Classes may be three years as at present.

2. As no competitive examination will be proof against selection of a few unsuitable candidates, Directors of Training Academies may invoke the Probation Rules to weed out unsuitable officer-trainees.

3. Officers must have Annual Performance Plan. Invariably an Annual Performance Plan will be a component of the Action Plan/Vision Statement of the Department/Ministry and its strategic long-term plan. Wherever possible, performance targets must be quantified. If it is not possible to quantify the targets, some other mode of target setting be done to ensure that an officer is held strictly accountable for performance.

4. After 15 years of service, a rigorous review be carried out of performance of civil servants based on the earlier *quinquennial review* of performance. If an officer is not honest and performance-oriented, he be weeded out of service on completion of 15 years on proportionate pension. An officer should also have the option to retire on proportionate pension after 15 years of service. A similar review be carried out subsequently at periodic intervals to determine if performance level of an officer has fallen sharply/if there are allegations against an officer's integrity.

5. Each Department/Ministry should be required to identify the points of citizen interface, benchmark the quality of services and strengthen the existing grievance redressal mechanism.

6. Officers of the higher Civil Service must supervise work of junior functionaries by regular visits and inspections. All officers of the higher Civil Service must put on the website/print media their contact telephone numbers during office hours. Every Ministry/ Department/Office having large public interface must have a few toll free telephone numbers with voice mail facility.

7. Junior officers at the cutting edge level of administration should be given training in customer service, attending to phone calls and resolving public grievances.

8. Rules under the Freedom of Information Act 2002 be notified immediately. The implementation of the Act be reviewed after three/four years by an independent Task Force.

9. The Official Secrets Act be modified to cover only the essential minimum requirements of national security, public order and individual privacy.

10. All officers having a public interface to wear name badges while on duty.

11. The duties, functions and responsibilities of all senior posts be laid down and publicized.

12. After every five to seven years in service, a civil servant should spend at least two months with a non-government organization, academic institution or the private sector.

13. ISO 9000 be introduced for government offices.

14. A full time officer should be posted in the Information and Facilitation Centre and each Department should attend to public grievances.

15. Annual Property Return of all public servants be put on the website.

16. Rules be framed under the Benami Transactions (Prohibition) Act. 1988 for attachment/forfeiture of benami/ill-gotten property of corrupt public servants.

17. Article 311 of the Constitution be amended to enable President/Governor to dismiss/remove public servants summarily in case of corrupt practice/having assets disproportionate to known source of income. The officer concerned may be given post-decisional hearing to prove his innocence. To ensure natural justice, such post-decisional hearing has been held to be constitutionally valid by the Supreme Court of India.

18. Under the overall control of the Central Vigilance Commission, committees of experts be set up in various Departments to scrutinize

cases of officers before initiating departmental action for corrupt practices/launching prosecution against them under the Prevention of Corruption Act 1988. Such a reform will encourage honest officers to take bold commercial decisions in the public interest without the lurking fear of a vigilance/CBI inquiry.

19. Section 13 (1) (d) (iii) of the Prevention of Corruption Act 1988 be amended so that civil servants are not incriminated for taking *bona fide* commercial decisions in the public interest.

20. Every programme of government should specify the deliverables in terms of services. Functioning of government offices having large interface with the common man should be assessed once in three/four years by independent organizations.

21. Citizen Centres should be set up to build capability for analyzing and suggesting changes in government policies. The civil service training institutes should perform the nodal role in this behalf.

22. Each Department of the Government should develop an internal evaluation mechanism on the basis of clearly laid down parameters. The result of such evaluation should be part of the Annual Administration Report. Departments should be held accountable for outcomes and there should be a sharp focus on service delivery.

23. A State of Governance Report should be brought out evaluating the performance of each State on the basis of a set of parameters of good governance.

24. Points of public interface in government should be identified for focused attention and improvement. Within a period of two years the procedures in the areas of public interface should be simplified and electronic service delivery for the common people be introduced. Each Department/Ministry may lay down a time schedule to extend service delivery through electronic means.

25. To provide a clean, honest and transparent government, antiquated rules and procedures in Government must be discarded and new simplified ones be put in place. Such an exercise is absolutely essential for introduction of e-governance.

26. E-Governance can augment efficiency and ensure transparency in government. The Andhra Pradesh experiment of identifying officers as Chief Information Officers to be trained in the Indian Institute of

Management, Ahmedabad, in e-governance is a noteworthy initiative. New entrants to the Civil Service have adequate hands ó on experience with computers and the internet and they could be sent periodically for further training in application of e-governance.

27. Each Department should identify skill gaps keeping in view its functions and take steps to train the required number of people.

28. The National Informatics Centre (NIC) should function as a vehicle for disseminating best practices across the country.

29. Officers posted as Chief Executive of e-governance projects should be given reasonable tenure and held accountable for results.

30. The administrative and financial flexibility required for introducing innovative e-governance measures should be identified and operationalized.

31. The Minimum Agenda for e-governance should be carried forward and each Department is required to identify specific activities which will be enabled in the next 12 months.

32. Departmental examination should include a practical test on the ability to use and apply computers.

33. Each Department/Ministry should have its own website of basic information relating to the Department/Ministry and the website be available for registering public grievances.

34. Each Department/Ministry should undertake a review of the particular service of which it is the Cadre Controlling Authority to ensure that officers of the service are used optimally, promotion prospects for them are adequate and skill levels of officers upgraded periodically. Each Department/Ministry should undertake a skill needs assessment to identify required skills and upgraded skill levels.

35. Civil servants should be encouraged to move laterally to non-government organizations.

36. Government should actively support and encourage outstanding work done by civil servants through National/State awards and commendations.

37. The initiative taken by the Department of Personnel and Training to provide funds to the Indian Institute of Management, Bangalore to develop a two-year course for officers of the IAS at mid-career level is worthwhile experiment. Similar train8ing programmes be devised for the Indian Police Service, the Indian Forest Service and other Central Services.

38. In the proposed Civil Service law, the highest political executive shall continue to be the final authority to order transfer of any officer before his tenure is over, but he will be expected to give due consideration to Report of the Administrative Inquiry/views of the Civil Service Board/Establishment Board and record reasons on the need for premature transfer of an officer. It is reiterated that the political executive shall have the final authority ton transfer an officer at any stage in public interest. An officer aggrieved by order of premature transfer can agitate the matter before a three-Member Ombudsman, who may, where suitable, award monetary compensation to be aggrieved officer. The constitution of the Ombudsman will be the same as the Ombudsman proposed for the Disputes Redressal Council as at para 6.19 of this Report. The President/Governor shall receive reports from the Ombudsman and shall lay an Annual Report on such transfers on the table of the Legislature. There should be a suitable provision in the law to enable States to adopt it and make it applicable in the States without going through the long process of drafting a law and get it passed in the Legislature.

39. The proposed comprehensive law on the Civil Service shall incorporate, *inter alia*, a Code of Ethics and a statutory minimum tenure in a post to an officer. Under the proposed law, if an officer is sought to be transferred before his tenure, there would be an expeditious administrative inquiry by a designated senior officer to be earmarked for this purpose. This can be dispensed with if the transfer is on promotion/deputation/foreign training. In all other cases, the Report of Inquiry with the views of the Civil Service Board/Establishment Board would be put up to the Chief Minister if officers of the All India Service/other civil services work in the States, or the Appointments Committee of the Cabinet if the officers work under the Central Staffing Scheme. For the officers of the other Central Services working in Ministries/Departments but not under the Central Staffing Scheme, the new law will prescribe a tenure with a provision for administrative inquiry before an officer is sought to be transferred except on specified grounds.

40. The recommendation of the Surinder Nath Committee (July 2003) for increasing the domain knowledge of IAS officers be implemented. Similar exercise be undertaken to increase domain knowledge of officers of the other two All India Services and officers of then C4entral Services

41. Officers of the All India Service on deputation to their home State must invariably report back to their parent cadres on expiry of their periods of deputation. Only one term of deputation for an officer of the All India Service be allowed to the home State and that too to attend to urgent personal problem. The exemption at present available for officers of the North-East/Jammu & Kashmir cadres in matters of deputation may continue. Any violation of this stipulation will attract a major penalty proceeding and also be taken into account while considering the officer's empanelment/promotion. Such a stipulation would also be applicable to officers of the Central Service who go on deputation to different State Governments and to officers who go on deputation to international agencies/foreign governments.

42. Introduction of sophisticated technology alone would not make the administration people friendly unless higher civil servants have a pro-active attitude and reach out to the common people. They must spend much more time in field visits, inspections, tours and night halts in remote and rural areas.

43. As officers of State Services appointed to All India Services by promotion also have to play leadership roles, they should face an Interview by the Selection Board. The Interview will not be a test of knowledge but will be only a test of leadership qualities. The selection for promotion to All India Service will be made on an overall assessment of suitability of officers on basis of record of service and the Interview Test.

44. Not more than 50% of the officers in a batch should make it to the Senior Administrative Grade. 30% should be the upper limit for Higher Administrative Grade and 20% for the highest grade of Secretaries to Government of India.

45. As there are large number of senior officers of the All India Service in different cadres, in selected districts, senior officers of the rank of Commissioners/Deputy Inspector Generals of Police/Conservators of Forests may be considered for posting as District Magistrates/Senior Superintendents of Police/Divisional Forest

Officers. The practice of posting very senior /Commissioner level officers in districts was prevalent before Independence and even for a few years after Independence. It is still prevalent in some states.

46. If the Establishment Board, after giving the views of the Minister in charge, who is a Member of the ACC. Its utmost consideration. Fails to change its original recommendation regarding the posting of an officer under the Central Staffing Scheme, the Cabinet Secretary may send the proposals of the Board with observations of the Minister in charge through the Home Minister. Who is a Member of the ACC. To the prime Minister. Who heads the ACC for a final decision .

47. Steps be taken to reduce the number of officers who are empanelled for senior posts under the Central Staffing Scheme.

48. A member of the higher Civil Service would be debarred from being appointed as a Private Secretary or Officer on Special Duty to a Cabinet Minister/ Minister of State in Government of India or in a state subject to certain stipulations. Ministers may have one of the officers of the civil service in their Department/ Ministry to function as Private Secretary for a continuous period of two years only. The stipulation that no officer of a Civil Service can be Private Secretary of Minister in the States or in the Central Government for more than two years may provide for an exception in case of the prime Minister and the Chief Ministers.

49. Members of the All India Services and the Central Services. Who are regular recruits through competitive examinations and who are unable to get promoted to the higher levels in their respective service due to non-availability of posts. May be allowed the next higher grade as personal to them a year before retirement on super-annuation. Such up-gradation shall be available only to officers with proven record of efficiency and integrity.

50. Suspension from service of All India Service officers by the State Government will be invalid if not confirmed by the Government of India within a period of 60 days.

51. Under the new Civil Service law, a member of the higher civil service should not be appointed to any statutory commission or a constitutional authority after his retirement on super-annuation. To insulate him from the temptation of post- retirement assignment, he should be appointed to such statutory bodies/ Constitutional

Authority only when he is not over 55 years of age so that he can demit office from these Commissions and Authorities after serving for five to six years.

52. There is a case for better compensation package for members of the higher civil service. Such compensation must bear a reasonable comparison with compensation for executives in the private sector. Issues related to a better package of compensation to the higher Civil Services may be referred to the next Central pay Commission.

53. There should be a cooling off period of at least two years after resignation / retirement before a civil servant can join a political party and contest elections to any political office. No civil servant can be appointed to the high constitutional office of Governor of a State unless a period of two years elapses between his resignation / retirement and his appointment as a Governor.

54. The recommendations of the National police Commission relating to tenure of senior police officers, independent review of the work of police departments and streamlining the powers of arrest should be implemented. The recommendations of the Malimath Committee on criminal justice system be also implemented.

55. The procedure for reimbursement of medical expenses of civil servants should be simplified so that quality medical services are available from recognized private hospitals without having to report to the CGHS on each occasion of ailment. The facilities available at the CGHS hospitals also need to be strengthened.

56. To increase the representation of women in the civil service, it is proposed that within 15 years, at least 25 percent members of the higher civil service should be women as against 12 to 13 percent women at percent. Women in the higher civil service be given four years of leave with full pay in their entire service career over and above the leave due to them under the normal leave rules. Such facility will enable them to balance their roles as officers with their roles as mothers / housewives.

57. To eliminate delay in disposal of a disciplinary inquiry, the Union public / Service Commission need not be consulted in case of a civil servant facing charges of corrupt practice and whose case has been referred to the Central Vigilance Commission for the first stage / second stage advice. If however the officer is penalized in the inquiry and prefers an appeal, the case may be referred to the UPSC for advice on the appeal petition.

58. Where minor disciplinary proceedings are sufficient to meet the end of justice, major penalty proceeding which are lengthy and time-consuming should not be initiated.

59. An Inquiry Officer should be relieved from his normal duties for a sufficient period to enable him to complete the departmental inquiry expeditiously and submit the report.

60. A database on disciplinary cases should be maintained to keep track of their progress.

61. (61) An Employees Health Insurance Scheme on the pattern of defense forces should be introduced for the civil service.

62. A high level Selection Committee having a representation of the Chairman, Union public service Commission be established to prepare a panel of two names for appointment of one of them as a member of the State public Service Commission by the Governor of a state. Similar High Level Selection Committee be constituted to recommend a panel of two names for appointment of one of them as a Member of the Union public Service Commission by the president. Similar Committees be constituted to recommend panel of suitable names for other high level statutory and constitutional appointments such as Securities and Exchange Board of India, Telecom Regulatory Authority of India, Insurance Regulatory Authority, the Election Commission , the Comptroller & Auditor General to which retired civil servants are usually appointed.

63. To minimize litigation on service matters, in every Department / Ministry there would be a Dispute Resolution Council (DRC) comprising a retired official as chairman and two serving officers as members. The decision of the DRC shall be invariably implemented. In case of disagreement, orders of Core Group of Secretaries / Cabinet Secretary be obtained before DRC's report is acted upon. Similar Dispute Redressal Councils be set up by State Government.

64. To ensure that the issues relating to the civil service get focused attention at the highest political level, the Empowered sub-Committee Governance of the National Development Council should go into the policy issues of civil service and make suitable recommendations.

Annexure III

Policy Imperatives and Programmatic initiative
Extracts from Tenth Five Year Plan Document
"Dimensions & Strategies"

Policy Imperatives and Programmatic initiative
Extracts from Tenth Five Year Plan Document "Dimensions & Strategies"

Improving Governance:

: To a large extent, the task of the development administration would become easier if steps are taken to make available information as a matter of right to the citizens. The Right of Information has to be the starting point for much of the reforms proposed.

: As a result of maladministration and corruption in the revenue system, not only is there a loss of revenue, but it also encourages the people to participate in the black/parallel economy. It is therefore necessary to undertake reforms in the revenue system, not only to have reasonable tax rates and equally importantly, to reform the tax administration in order to make it more transparent, equitable and user friendly.

: Civil Service Reforms must be aimed at improving transparency, accountability, honesty, efficiency and sensitivity in public administration at all levels.

: Procedural reforms to cover all aspects of Government's interface with the public are essential. Often private initiatives entrepreneurial energies and innovations are snuffed out by the maze of red – tapism and procedural and legal hurdles that come in the way of development.

: One of the most common reasons for the failure of programmes and schemes is the faulty and incomplete design of the programme/ project / scheme. Care and attention must be taken to formulate programmes / projects/ schemes in a more systematic and professional manner.

Important Components of Civil Service Reforms

- The processes of the outcomes of policies, entitlements, and procedures must be made transparent, widely shared and well displayed

- It is believed and as such should be followed, that less discretion would tend to more equitable and less corrupt system

- Prevalent institutional arrangements will have to be reviewed and changes made saw that those vested with authority are also made accountable.

- The present system of rewards and punishment in public life, which matters corruption a high-return-low-risk activity needs to be changed.

- It is necessary to review the situation, and identify departments and functions within departments that were once essential, but are now redundant and would need to be done away with.

- The induction of professionals/specialists into the administrative system, on contractual appointment should be examined and suitable policy changes made in the entry policy

- Pre-service and demand driven in-service capacity building for all cadres and ranks should be made a regular feature

- Contributory Pension system for the new employees must be seriously considered

- Alternative ways carrying out a job/activity must be examined and assigned to Government only if considered essential

- Stability Of tenure is essential and should be ensured for any constructive and sustainable work.

Annexure IV

DOs and DO Nots compiled by the AARC
for Officers and Staff

GOVERNMENT OF ASSAM
Administrative Reforms & Training Department
Assam Sachivalaya, Dispur

TEN COMMANDMENTS FOR OFFICERS

Dos	Don¢ts
1. Set an example by your conduct that improves the image of the Government.	1. Don¢t behave in a way which is detrimental to the interest of the State and it¢s people.
2. Be punctual and enforce punctuality among subordinates.	2. Don¢t be late in attendance as subordinates will follow you.
3. Be prompt and transparent in your dealings.	3. Don¢t be hesitant in taking decisions in public interest.
4. Implement the lawful orders of the superiors without delay and reservation.	4. Don¢t be afraid to express your views objectively before your superiors.
5. As a committed civil servant, faithfully implement the development schemes of the Government with full involvement.	5. Don¢t be involved in the political programmes of any political party.
6. Be positive in your approach to problems relating to weaker sections, Minorities, SCs/STs, etc.	6. Don¢t be negative in your approach to problems relating to weaker sections, Minorities, SCs/STs, etc.
7. Keep some time earmarked everyday to meet public and show courtesy to all your visitors.	7. Don¢t keep elected representatives and public waiting at your office doors.
8. Promptly reply to correspondences received from elected representatives, public organizations and citizens.	8. Don¢t delay in responding to matters of public importance.
9. Regularly inspect and supervise the work of the subordinates.	9. Don¢t remain aloof from your subordinates.
10. Abide by the Constitution of India, show respect to the National Flag and the National Anthem.	10. Don¢t subscribe to any views which is against the Constitution of India, national integrity and sovereignty of the country.

KEEP THE ENVIRONMENT CLEAN

GOVERNMENT OF ASSAM
Administrative Reforms & Training Department
Assam Sachivalaya, Dispur

TEN COMMANDMENTS FOR STAFF

Dos	Don'ts
1. As Government servant, you are a privileged person. Therefore, always give your best to improve the image of the Government.	1. Don't do anything which lowers the estimation of the Government in public.
2. Be punctual in attendance.	2. Don't be late in attending office and don't remain absent unauthorised.
3. Be prompt in disposal of papers.	3. Don't keep papers for tomorrow that you can dispose today and never conceal papers received.
4. Be polite and cheerful in dealing with the public.	4. Don't be discourteous or rude to the public.
5. Be conversant with office procedures, rules, government circulars and relevant laws, which will make you efficient.	5. Don't be ignorant of office procedures, rules, Government circulars and relevant laws and become inefficient.
6. Devote the entire office hours on your allotted work, because every minute is costing the Government.	6. Don't leave your office during office hours for gossiping or personal work.
7. Perform your duties honestly, people are watching you.	7. Don't be dishonest. Don't accept bribes and gifts.
8. Be helpful. Go the extra limit for a rightful cause.	8. Don't be obstructionist and put unnecessary hurdles.
9. Be positive in your attitude to weaker sections, disadvantaged classes and poor.	9. Don't have negative attitude towards the weaker sections, disadvantaged classes and poor.
10. Always abide by the Constitution of India, show respect to the National Flag and the National Anthem	10. Don't subscribe to any views, which is against the Constitution of India, national integrity and sovereignty of the country

KEEP THE ENVIRONMENT CLEAN

Annexure V

- HRD and Quality Governance
  By Dr. P.K. Choudhuri, Member of the Commission,
  and
- The Government as Learning Orgsanisation :
  A Cross-Cultural Model
  By Dr. Prem Saran, IAS Member Secretary of the Commission
  (13-02-02 to 07-09-02)

HRD and Quality Governance
(Dr. P.K. Choudhuri)

Administrative Reforms have become an important plank in the quest for quality governance. Rajib Gandhi, as the Prime Minister of India and later as the Leader of the Opposition, stressed the necessity of bringing about reforms in the administration from the grassroots level to the highest echelons, and he underlined the importance of Human Resources. At his instance, a new Ministry of HRD was therefore set up at the Centre. From then onwards, both the Centre and in many States, some endeavor was set afoot for bringing about reforms in the Administration. õBring about changes and adjust to changesö became the buzz-word for settlement of better governance. Although a dent has been made in many of the States, the goal has not yet been fully realized, and in Assam lately a serious effort is being made at the instance of Shri Tarun Gogoi, the present Chief Minister. An Administrative Reforms Commission has been set up, and the Commission has already submitted an interim report, which has been accepted by the Government and steps taken to implement its recommendations.

Human Resource is one critical resource which plays the key role in running the Administration, and if it is not properly developed, trained and motivated, no amount of Administrative Reforms will produce any tangible result and may even be counter-productive. Even the best computers and other electronic devices cannot deliver the goods, unless the people behind the machines are willing, motivated and skilled to operate them. The Government sector is no different from the Corporate one, as far as this key resource is concerned ó HR needs to be properly furbished, focused, trained and skilled. In the present scenario, the Corporate sector is laying great emphasis on the most critical resource viz. Human Resources. Similarly, in the Government sector too, the idea has dawned in a big way to upgrade, update, elevate and recast their knowledge and skills. Human Resource Development and good governance are thus two important aspects yoked together, for a better quality of administration.

Just as the Corporate Sector, and even for that matter an individual human being, has a mission and goal; similarly the Government Sector has to lay down its vision and goal. Government is a body supported and nurtured by people, to provide them with at least their primary needs of leading a life of some quality. That is not, however, the end of the mission and goal ó as tax-payers, the people expect a clean, transparent and public- friendly administration, with equity and fair-play for all, setting up of proper infrastructure for growth and development, healthcare, security of life and property, justice for all etc. A good administration, therefore, needs to spell

out its mission, vision and goal, and act accordingly to achieve these. Also, an annual enumeration and monitoring should be a regular feature. For any administrative reforms that we want to introduce, it is necessary in the first instance to spell out its mission and goal and underlying guiding principles to the public, who are stake-holders in the administration (in corporate parlance). The Government machinery with its various wings is gigantic, and people working in it may well become the mere cogs in the machine, as a result of which there is hardly any human touch and pride in their work. Reforms need to aim at inculcating a sense of doing something useful, instead of being a cog in the machine. Every human being in whatever station he or she is, has certain pride and dignity. This aspect needs to be borne in mind and acted upon accordingly. The results accruing from such an attitude will be immense. Goal setting needs to be fostered at all levels of employment, as also inculcation of the sense of belongingness, which will result in better performance such as to achieve excellence in administration.

Any job needs planning both individually and group wise. In many positions of the Government, the people involved are not aware of the plan, and as a result their sense of direction gets blurred, and their work output does not achieve the planned results qualitatively, and time overruns are also incurred.

In any HRD planning, whether in the Corporate world or in Public Administration, the buzzword should be to optimize performance, and gain competitive edge with other Departments or States. Time-management fills an important place in good governance. Time is an asset which every one owns, as 24 hours a day is given to all; yet we see the gross mismanagement of this asset, particularly in the Government sector. It is more important to have qualitative use of time, than spending eight hour and turning out hardly anything. In the Dispur Secretariat, or in the District offices, one can count only a handful of employees who come on time. This habit of tardiness has to be eschewed, and a culture of disciplined time-management has to be inculcated at all levels. Lots of urgent works are shelved on the pretext there is no time. An objective analysis of how one spends a day reveals that plenty of time, which was otherwise being wasted, can be made use of for meeting the objectives and task deadlines.

Further, the practice of holding frequent meetings should be kept to the minimum. When meetings are held, they should be properly structured and the participants should be well versed in the subject matter and able to make meaningful contributions. Most of the meetings, that are being held in Government, show a lack of seriousness, purposefulness, and business like attitudes. Attitudinal change has thus to be infused in such meetings in

the future, with proper structuring to ensure that there is no waste of valuable time.

Cleanliness of the surroundings and the offices is an important requisite. The standards at present prevailing in the Dispur Secretariat and the District offices are not at acceptable levels. If the surroundings and offices are not kept neat and clean, efficiency gets hampered. For the environment does effect the mind and attitudes, which directly affect efficient functioning.

Proper manpower planning has to be introduced ó the lack of which has over the years led to over-staffing in some departments. And qualitatively also, the principle of õthe right people for the right jobö is not followed. A periodical audit has to be made of the manpower, and wherever it is necessary redeployment should be made. New recruitment except for urgent requirement of specialized knowledge/expertise, should be frozen for the next five years. The Public Service Commission in Assam, whose visage in the public eye has lately not been too bright, should be revamped to make it a body of transparency and fair-play; and it should be turned into an institution which will evoke respect from the public at large.

Performance Appraisal :   There is a Performance Appraisal system in the Government, but it does not bring forth in depth the quality of the appraiserø work during the year, and the potential that he has. As a result, the present method of Annual Confidential Reports has become counter-productive and totally unrealistic. The appraiser generally follows the path of least resistance, and an average marking entitles a person to earn the next promotion. The system needs to be remodeled with a degree of self-appraisal filled in, the appraiser and appraisee should have a joint sitting and prepare a goal-setting for the following year. For the appraisal of the following year, both the appraiser and the appraisee should go over the goals set and see how much have been achieved, and this itself will be a transparent method to assess the worth of appraiseeøs work during the year. In the confidential part, the appraisee and the person above him should rate the personøs work during the year. With such a transparent appraisal system, employeeøs morale will be enhanced, and he or she would be better placed to do his/her work. After all, the Governmentøs most valuable asset is its employees. Needless to say, the quality of appraisals has to be improved, and a suggestion could be to train appraisers to do a better job; training in the appraisal process can improve the resulting appraisals. On the basis of the appraisal, the promotion policy has to be adopted so that the right person gets the higher job, of course keeping in view his seniority

in service. Although seniority-cum- efficiency is the present norm, more emphasis should be placed on efficiency as depicted by ACRs.

Human Resources Strategies : Training for continuous up gradation of knowledge and skills, enrichment of the knowledge-base and bringing in fresh ideas, will energize the Administration and optimize its functioning. Total quality management has been commonly talked about for better governance. It is a pragmatic truth that Total Quality Management cannot succeed unless we develop the Total Quality Persons. Hence, training as a major tool of HRD can play a pivotal role in reshaping and reforming the Human Resources to build a Total Quality Culture. Minds have to be modernized, along with the fast-moving tools of administration. Good leadership has to be built up and nurtured. The world belongs to the passionate, driven leaders : they have to have the energy, and should be able to energize the staff working for the attainment of the vision and mission of providing good governance. Good leaders should be able to make people like to work ó not make them work. Training has to b continuous process, and this should apply at all levels, including MLAs and Ministers. The training modules should be aimed at familiarizing people with the latest techniques of administration, sharing of information, computer literacy, proper attitudes of public service, and effective delivery systems.

In quest for developing a Total Quality Person, the Indian tradition and heritage, its culture and philosophy, its ethos and value system are a treasure house. Like the Japanese art of management based on the framework of Japanese ethos and culture, we in India can also develop our own management style, in unison with our own ethos and culture. A holistic approach needs to be used in the introduction of training, and in this, the systematic visualization of clear and specific goals, through the regular tapping of oneøs right-brain potentials, plays an important role. My colleague, Dr. Prem Saran is an authority on the subject, and in the next section he presents his own HRD Model (with its in-built training component) as being a state-of-the-art and cross-culturally valid tool for effective Public Governance.

Given the present system of time-bound promotions, once employees enter into Government Service, they hardly make any effort to add value to themselves and their work. With the emphasis that is being made now, particularly on training at all levels and promotions on the basis of efficiency, along with a more meaningful Performance Appraisal System, it is expected that there will be some change in the mindset and work-culture. Although it may not be possible with the existing Government rules to grant special merit increments or rewards, the recognition of merit

is a must, and this could be realized by awarding letters of merit, as recognition given by higher authorities to the meritorious and deserving employees. Their recognition will go a long way in inspiring and motivating them and others. What is needed is a recast, reshape and reform the system for robust long-term growth. The Government has to be responsive and public ó friendly as the saying goes, õFreedom is when people can speak, democracy is when the Government listensö

The Government as Learning Organization: A Cross-Cultural Model

(Dr. Prem Saran, IAS)

Prolegomena. Professor Peter Senge of the Sloan School of Management at MIT is justly acclaimed for his book, õThe Fifth Discipline: The Art and Practice of the Learning Organizationö (1990). Therein he elaborates on five key disciplines, which he has identified as being essential to create a **learning organization**. According to him, the crucial **fifth discipline** of his title is **systemic thinking**, which means that when one looks at an organization one sees the connection between its parts, and a process of change rather than stasis.

An organization of this kind õrecognizes the importance of the people within it, supports their full development and creates a context in which they learnö (O,Connor & Seymour, 19994). Indeed, Fortune magazine, recognizing the competitive edge that learning organizations would have, has identified them as likely to be the most successful corporations of the future. And with the so-called õknowledge societyö being put in place apace, there can be no two opinions about the ever-increasing salience of effective learning processes, and of the kinds of organization that actively foster them.

A basic flaw in Sengeøs model is however, that it is too **cerebral**. For it does not indicate, except rather cursorily and tangentially, the **praxis** that is needed for his fifth discipline to be inculcated. He does of course admit, towards the end of his book, that a õ**sixth discipline**ö would in due course be needed, õ a wholly new discipline that we cannot even grasp todayö (p.363). Interestingly again though, it is he himself who indicates the possible shape of that new discipline, in his Foreword to Debashis Chatterjeeøs innovative book, õLeading Consciously: A Pilgrimage Toward Self-Masteryö (Chatterjee: 1999)

In that Foreword, Senge argues that Eastern cultures like India and China constitute a õunique storehouse of **practical** knowledge about consciousnessö [emphasis mine]. He therefore commends the author of the book for õhis vision of offering ancient insights in a way that makes them understandable to contemporary managersö. Given such praise, it is therefore no wonder that the Harvard Business Review included Chatterjee in its list of õ**fifteen thought leaders**ö working in the field of management studies worldwide.

However, Chatterjeeøs work is only a highly simplified version sampled from the rich lore of Indic meditative praxis. The fundamental goal of these meditative practices is the attainment of the mystical experience, the

holistic nature of which makes it cognate with the õsystemic thinkingö that constitutes Sengeøs õfifth disciplineö, as I indicate below. These techniques thus have the potential to enable one to systematically internalize that organizationally desirable kind of thinking. In other words, these can very well form the core of the required õsixth disciplineö.

Unfortunately, Chatterjeeøs oeuvre too is somewhat flawed by the fact that it is excessively simplistic and eclectic. He cannot of course be churlishly faulted for that, given that he is basically a Professor of Management, and not an Ideologist and /or Religious Anthropologist. One purpose of this article is therefore to plug those disciplinary lacunae, since I myself happen to have been trained in both of these fields, which are desiderata for a systematic and cross-cultural study of such meditational/mystical techniques. In addition, I am an **MBA** to boot, with my specialization being in Human Resource Development.

I propose accordingly to construct a more **rigorous** and cross-cultural valid argument, using my own academic and professional work, as I briefly outline below. In **Section I** of what follows, I shall expatiate on the **practical** model of systemic thinking which I have myself developed, and which I shall simply call **Saran's HR Model** for the sake of brevity and convenience (Saran: 2000, 2001). I shall indicate how it is a radically simplified version of certain Indic visualization/meditational techniques, called through my own theoretical and practical expertise in the traditional yogic disciplines. Again, I shall also show how it can be profitably used by contemporary managers for what has been called **rightbrain management** (Alder: 1998b).

Then, in Section II, I shall argue that since my Model is based on the holistic modes of functioning of the rihghtbrain, it can potentially be the **sixth** discipline that is needed to effectively operationalise Sengeøs crucial (fifth) discipline of systemic thinking for the learning organization. Moreover, as I shall indicate in my conclusion, it can even be considered the **ultimate** discipline for that purpose. For it is the distillation of over two *millennia* of yogic experimentation in the Indic civilization, which has indeed as a culture specialized precisely in the kinds of praxis required for achieving that sort of **learning-oriented** mindset.

Finally, I shall show that this Model can be easily applied in the field of Public Administration also, by viewing the **Government** itself as a **Learning Organization**.

(I) Saran's HR Model of Rightbrain Management

Introduction. After Roger Sperryøs Nobel Prize-winning discovery of the special modes of functioning of the human rightbrain, there has been much research interest in finding ways of systematically tapping its vast potential. This interest has inevitably spilled over into the field of Management theory and practice too, especially in the area of Human Resource Management. This paper is a cross-disciplinary effort in that direction, being in fact an elaboration of a presentation first made at the 30th National Convention of the õIndian Society for Training and Developmentö, which was held in Calcutta from 19th ó20[th] January, 2000. The general theme of that Convention was õTraining for Transformationö, and my paper therein focused on the use of traditional and highly **sophisticated** Indic methods of rightbrain ó tapping, for the contemporary and down-to-earth purpose of Human Resource Development.

Further, the Model describes here is based on the authorøs multidisciplinary professional background : as a technocrat (i.e. as a Chemical Engineer, and **MBA** from the Indian Institute of Management Calcutta, with specialization in **HRD**), as an Indologist-cum-Cultural Anthropologist (with graduate degrees from the Universities of Pennsylvania and California), and as a public administrator with over 23 years of experience in the Indian Administrative Service, which is Indiaøs elite civil service. It is also a **cross-cultural** model, using elements from both the Indic and Western universes of discourse. Finally, it is informed by my **hands-on** expertise as a practitioner and teacher of Hindu-cum-Buddhist techniques of meditation.

Given current globalizing trends, the Model therefore has a potentially substantial audience that is both Indian and Western, for it draws on highly effective Indic techniques of self-awareness, fine-tuned with findings from the latest research in the Behavioral Sciences. Moreover, the Model has been tested successfully on subjects in India as well as in the USA. So much so that a number of State Government in India, as well as some of the major public and private sector enterprises in the country, have invited me to train their senior personnel with it. In fact, in view of this wide-ranging interest the Model is also being digitalized shortly, for widespread multimedia dissemination and use.

In what follows, I first indicate the broad Indological and Cultural-Anthropological parameters of my cross-cultural HRD model. Thereafter I outline the philosophical and pragmatic bases of the model, and explicate its utility for the purposes of **Stress Control, Creativity** and **Rightbrain Management. I** then lay out the model as a *do-it-yourself* technique; which is performed in three stages, viz**. relaxing the body**, **relaxing the mind,** and **auto programming**. Finally, I round out my arguments in this

section by situating my model within the context of current mainstream research in the Behavioral Sciences.

Indic Cultural Background. The Model is informed by a naunced appreciation of four *core* themes in the Indic civilization. This knowledge was acquired during a yearøs field research conducted in Nepal, for Ph.D in Cultural Anthropological at the University of California. The subject of the research was South Asian Tantrism, in which the author happens to be a traditional initiate and an international expert (Cf. my õTantra: Hedonism in Indian Cultureö, D.K. Printworld, 2^(nd) edition 1998; and my õYoga Bhoga, and Ardhanariswaraö, which is currently being processed for publication).

First, unlike the atomistic personality structure of the modern West, South Asian personhood is õporousö. For it is õholonicö, to use Arthur Koestlerøs term: everything in nature is a õholonö, i.e. a whole that is in turn a part of other wholes. This holistic psycho-cultural understanding of selfhood is seen cross culturally to be much more accurate than the Western, as anthropologists like Melford Spiro and Malcolm Crick have shown. That in fact is also partly why well-known transpersonally-oriented psychologists like Robert Assagioli and Abraham Maslow have significantly enriched their work by the use of perspectives from Indic and related meditative traditions.

Secondly, as opposed to the Judeo-Christian worldview of the Western civilization, with its distinctive and almost pathological Protestant work-ethic, the South Asian cultural ethos is more playful. This is indicated by the salience of the Indic cosmogony of õlilaö, which views the creation of the cosmos as bring due to the (erotic) sport of the õdivineö. This cultural syndrome clearly has very positive and humanistic practical effects, because it makes for a more relaxed and healthier attitude towards life.

Thirdly, and this is intimately concerned with the previous theme, there is the Indic cultural salience of the **pleasure-principle**. This is quite patently evinced by the pan-South Asian persistence of the Tantric cult, with its foregrounding of a balanced hedonism in order to attain the altered state of õsamadhiö, which is the pan-Indic term for the mystical experience of union with the ground of being. This sophisticated appreciation of the role of Eros in human life also happens o resonate with Freudøs realization, towards the very end of his long life, that the libido is naught but the life-force!

Finally, as against the androcentric, Judeo-Christian metaphysical and hence socio-cultural biases of Western culture, Indic philosophy and

culture are pervasively imbued with the ancient bipolar ideology of Samkhya, with its characteristic and basic attitude of **gender-mutuality/complementarity.** This can perhaps be related with the Jungian speculations about the anima and animus, which allude to the psycho-spiritual basis of the relationship between the sexes. At any rate, it is this equi-gendered view of reality that underlines the centuries-old yogic technique of Kundalini-visualization, to which we now turn.

Kundalini-Visualization as HR Technique. Briefly put, the core of my HRD model is a radically simplified version of the traditional Kundalini technique of bipolar yogic visualization. It basically consists of the following three stages. First, the body is relaxed by using a process of autogenic visualization. Then, the mind is put into an õaltered stateö by the visualization of an õinner bodyö, within which is a fine tube running down its center, from its anal region to the crown of the head; thereafter, by visually directing the attention up the tube, from its bottom end to its top, a deep hypnogogic state is achieved. Finally, in this state of deep relaxation, one methodically programs oneself to achieve desired goals, personal and / or organizational.

The effectiveness of any tool or technique depends on how simple it is, as Edward de Bono has pointed out. The technique above is both simple and extremely effective, as is brought home to me whenever I use it in training courses for hardboiled professionals, such as senior Indian Civil servants. For within minutes, worldly-wise subjects such as these are enabled to enter a profound meditative state, within which they can then very easily learn to become better managers and leaders. That is to say, this technique can be profitably used for bottom line organizational objectives, through the synergic achievement of optimal **Stress Control**, enhanced **Creativity**, and a balanced **Rightbrain-Management** style, as I indicate below.

Stress Control. There are about 2 dozen schools of yoga in the Hindu and Buddhist traditions. According to the eminent French Indologist Louis Renou, these Indic techniques of meditation are a veritable õdiscipline of the unconsciousö. Or, to use contemporary terminology, such techniques are effective ways to get out of oneøs normal leftbrain mode of consciousness, which constitutes merely the icebergøs tip of oneøs actual mental capacities. Thus, one can easily learn to systematically access the vast submerged and untapped potentials of the rightbrain. In other words, by regular practice of such rightbrain-manifesting states of meditative absorption, and thus of deep relaxation, one can effectively release the bulk of oneøs accumulated stresses. One can thereby increasingly operate at optimal stress levels, and as a result significantly bootstrap oneøs own performance.

Creativity. According to many experts, individual creativity depends essentially on the ability to make novel conceptual associations, whereby one is then able to generate innovative ideas. This is a process that is eminently facilitated by such techniques of rightbrain-tapping, which enable one to bypass the routine style of functioning of the leftbrain, in order to enter the visual mode of the rightbrain . This latter holistic mode permits one to make the imaginative leaps that constitute what de Bono calls õLateral thinkingö. The creative ideas that are thus generated can be critically evaluated later for their practicality and feasibility, by resort subsequently to the logical activity of the leftbrain. The net result is that one begins to learn to operate in the whole-brain manner of the most effective CEOs and other top organizational leaders, as Harry Alder has shown.

Rightbrain Management.   According to management writers like Edward de Bono and Harry Mintzberg, even the well-known management schools are unable to produce the kind of managers that modern societies need. In Alderøs diagnosis, the main reason for this is that management-training programs are almost entirely leftbrain-oriented. For they focus mainly on the over-valued skills of critical analysis, sadly neglecting the much more powerful rightbrain modes. Again, and even more to the point, Alder found that most of top British CEOs he studied had actually learned to access their rightbrain capacities, and also to confidently trust the resultant outputs. There is thus a definite trends towards the õright brain managerö (Alder 1998b), who quite clearly values this style of õcreative managementö, as Gareth Morgan so aptly characterizes it.

The Technique.   My rightbrain-tapping technique is now described below, in the following four sections. In the first three, I outline its progressive stages, namely (A) the progressive relaxation of oneøs body, which is followed by (B) the progressive achievement of deeply relaxed but alert mental state, in which (C) one then systematically programs oneself in order to accomplish oneøs goals. Then, in the fourth section (D), I make some useful points for its effective practice.

(A) Relaxing the body

1. Lie comfortably on your back. Close your eyes. Take three deep breaths imagining that you are exhaling all your worries and tensions with each out-breath, and inhaling deep feelings of relaxation and peacefulness, with each in-breath.
2. Direct your attention to your feet. Imagine that they are becoming warm, as through steeped in warm water, with currents of warmth

flowing through them. They gradually become very pleasantly relaxed and heavy.

3.   Repeat these with your legs, thighs, hips lower and upper back, shoulder, hands, wrists, lower arms, upper arms, chest, stomach, abdomen. Progressively your feeling of relaxation deepensí ..heavy and warmí .

4.   Now imagine the same with your neck, back of head, scalp, forehead, eyes and eyeballs. Let your mouth open slightly, with your tongue lying limp inside, then your jaws, chin and throat get relaxed. Now you are in state of very deep relaxationí Heaviness and warmí

5.   Next, imagine you are going down in an elevator, 20 floors downwards. As you count each passing floor, from 1 to 20, you become more and more totally relaxed. Then, when you reach the bottom and the elevator doors open, you find yourself in a beautiful scene; perhaps a garden, a mountain vale, or a solitary beachí It is some place where you have been before, and so you easily you recall those earlier feelings of being at peace with yourself, with nature, and the entire Universeí .

6.   Suddenly, you realize that you are not longer aloneí there is someone with you. He or she is someone you trust and like very muchí It is a person you are or were very intimate with, someone with whom you are totally relaxedí It feels so good to be with that special companion that your whole being is filled with joy.

(B) Relaxing the Mind.

1. Then you realize that you are alone againí You find yourself lying there alone in that relaxing place, fully grounded to the earth beneath you. And you now begin to imagine a fine tube inside your, extending from the bottom your body to the crown of your head. You imagine that there is a fluid inside the tube, rising slowly within it like the mercury in a thermometer í .

2.The fluid in the tube begins to rise, and to change colour Kaleidoscopically as it rises, taking up all the colors of the rainbowí .At the bottom of the tube the fluid is violet; midway to your navel, indigo, navel, blue; heart-region, green, throat, yellow; forehead orange, and at the crown, redí ..

3. Finally, when the fluid reaches the crown of your head, it magically fountains out through a very fine hole there. It covers and bathes you entire body, and your very being, with a feeling of peace, total calm, and contentmentí .You feel as through you have become an inert doll made of salt, which has been dipped into the sea, so that you melt totallyí .You become one with the surrounding oceaní

(C) Auto-Programming

1. Next, imagine that you are in a õspecial placeö of your very own. It is your sanctuary, where you can be highly creative and productiveí í It is a secret place, when you can also meet your personal adviser or guruí .Perhaps it is a room with a panoramic viewí a room that you have furnished with great careí .There is a large whiteboard with highliter pens, two full-length mirrors, and other things that you needí

2. So you are now in that õspecial placeö of yoursí You are facing the whiteboard, and you slowly walk up to it. You pick up a yellow highliter pen, uncap it, and begin to write the syllable õkleengö. You also say this to yourself mentally, say six timesí If your mind wanders , as it possibly may, let it do so í when you remember the sound again, just repeat it some more, for as long as you wish, until your mind is calm and relaxed..

3. Then, on that whiteboard of your mind, you begin to write in yellow again í You write a brief, positively-worded affirmation about your goalsí It is in the present tense, as if you have already achieved what you wantedí You also repeat the affirmation to yourself mentally, or even out aloud if you wish: õI easily achieveí .(whatever your goal is)í .And finally, you visualize it tooí You visualize a past success in detail, and then visualize in full detail that your present goal too already achieved í .your friends and wellwishers are shaking your hand and congratulating you í and it feels truly wonderful to be such an outstanding achieverí .

(D) Reinforcing & Anchoring

1. You are now in a deeply relaxed and self-confident state. You are therefore ready to reinforce your own self-programming, by looking into the mirror of your mind and visualizing the positive outcomes you want in your life. You do so by using all three of your thinking modalities (see õEöbelow)-viz. the visual (i.e. images), the auditory (i.e.sounds), and the kinesthetic (i.e. feelings).

2. So you turn next to the two mirrors that you have in your õspecial roomöí The first mirror has a blue frame, and in it you visualize in detail your problem situation, whatever it is that you want to charge. Immediately thereafter you look into the second mirror, which has a white frame, and is to the left of the first oneí In it you see the

solution, the desired new situation, clearly and in vivid detailí   And you feel the joy of achievementí

3. Repeat this process of seeing the problem and the solution a number of times í Each time you see the problem in the blue-framed mirror, you immediately see the solution, in the white-framed mirror to the left of together ití .And each time you see that solution, you form a circle with your thumb and forefinger, and say õYes, I canö. This anchors your feelings of confidence and enthusiasm, and triggers them off each time you repeat this special gesture or anchorí .

4. It is now time to invite your personal adviser or guru into your õspecial placeö He or she may be someone you actually know, or someone that you simply imagineí .It is a being who is very wise and resourcefulí visualize the person clearly, and ask for adviceí Imagine getting exactly the advice you needí

5. finally you end your meditation, by gradually counting from 20 to 1. As you pass 15, and also at 15 and 10, you tell yourself õI come up feeling relaxed and alertöí . You then go about your daily activities enthusiastically, feeling progressively better each time you practice the techniqueí

(E) Points to be Noted For Daily Practice

 1. Regular Practice makes the process more and more enjoyable, and also improves the effect. So do it twice a day for 15 to 20 minutes, just after waking up in the morning, and just before sleeping nightí and if possible, a third time at midday. And do it regularly for 21days, which is the time needed to create a new habit.

2. The Visual, the Auditory, and the Kinesthetic modalities refer to the three main ways in which the human mind thinks, according to Neuro-Linguistic Programming (NLP)-viz, images, sounds and feelings, respectively.

3. The colors in the tube are the rainbow colors õVIBGYORö.

4. While visualizing, it is not important to have your images picture-perfect,; it is the feeling of vividness that causes the effects of relaxation, not the perfection of the imagery.

5.   You will be able to use the syllable õKleengö as a keyword or mnemonic-along with your thumb-circle anchor-anytime in your daily

round, and it will trigger off your feelings of relaxed confidence, optimism, and enthusiasm.

Modern Perspective on Saran's Model.   To sum up this section, it will be useful to refine our understanding of the above Indic Model, by viewing it from some cognate and interesting contemporary perspectives. We may start with Abraham Maslow's studies of õpeak experienceö, which are complimented by Cziksentmihalyi's research on those mental states of õoptimal experienceö which he terms õflowö . In such rightbrain states, one finds oneself functioning optimally precisely because one is so absorbed in what one is experiencing or doing, and is thus unselfconscious and oblivious of oneself. Both these researchers have also made explicit comparisons of these states with yogic experiences of meditative absorption.

Moreover, by putting one increasingly in touch with one's own internal resources, such õ psychedelicö or õmind-manifestingö procedures help to cumulatively generate he positive mindset that Martin Seligman calls õlearned optimismö. This reinforces those positive feedback loops that synergize learning and growth, both in individuals and organizations. And that in turn generates the high need-achievement described by McClelland, thereby reinforcing the motivation required to fuel the Maslowian drive toward self actualization and creativity. It is therefore not surprising that Alder's top business leaders are so dependent for their success on their constant recourse to the pleasurable, freewheeling modes of Rightbrain thanking.

Again, in this global age of resurgent interest in non-Western modes of knowledge and praxis, it is only apt that Indian, Chinese and Japanese ideas should begin increasingly to cross-fertilize the field of management too. We thus have the Japanese philosophy of Kaizen (or õcontinuous improvementö), and the Chinese õTao of Leadershipö. And from Indian management theorists, we have S.K. Chakravorty's õManagement by Valuesö, Debasis Chatterjee's concept of õLeading Consciouslyö, not to speak of this my own Indic Model of Rightbrain Management (Saran: 2000).

Further, as already noted at the very outset, Senge himself highly appreciated Chatterjee's work, and the latter was condignly cited by Harvard Business School for his salient contribution to management theory and practice. For his model takes the õrihghtbrain managerö onto the next turn of the spiral, where she comes face to face with the ultimate human need, as theorized by Maslow. This is the need for õtranscendenceö, which holistically subsumes all the other needs in Maslow's hierarchy. At

that stage, business management and public administration begin to get transmuted from a vocation into an avocation, with the concomitant optimization of the pragmatic benefits that can accrue to both individual and society.

Thus, since it takes the above process of inter-cultural and cross-disciplinary fertilization even furhther, in terms of both theoretical rigour and practical efficacy, Saranøs Modeel provides the basic tool for just suhch a radical and humanistic transformation. For we have seen that it is based on the highly sophisticated and time-tested Indic technique of Kundalini-ivisualization. And that in turn has been shown above to actually constitute a cross-culturally valid and powerful model of õrihghtbrain managementö, and therefore of optimal Human Resource Development. In other words, it can bring out more fully the human side of organizational enterprises, in these initial years of the new millennium. That brings us next to Section II, where we can now examine how my Model can be the sixth, and indeed ultimate, discipline anticipated by Senge himself.

(II) Saran's Model: The Sixth and Ultimate Discipline for the Learning   Organization

In this Section, I first indicate why Sengeøs description of his õfifth disciplineö, viz. that of systemic thinking, is merely theoretical and exhortative, and therefore inadequate for its actual internalization and use. Subsequently, I show how Saranøs Model can provide just the simple and empirical means needed to operationalize that õfifth discipline; in other words, it can be required sixth discipline foreseen by Senge. Finally, I shall argue that this Model   also constitutes the ultimate discipline for the learning organization, precisely because it addresses the cross-cultural õmeta-needö for the experiential knowledge of õtranscendenceö (Maslow, 2000:), as well as because it has been fine-tuned through over two millennia of experimentation in the Indic civilization.

Now, as the subtitle title of his book would make one expect, Sengeøs description of his fifth discipline is probably intended to be a practical way of inculcating õsystemic thinkingö in the learning organization. Unfortunately, it remains only at the leftbrain, icebergøs-tip level of cerebration, whereas effective learning has necessarily to engage the rightbrain, which constitutes about 90 percent of oneøs brain capacity ! An apt comparison here would be the process of learning to drive a car, where a mere verbal description of gears and brakes and such like is in itself quite patently insufficient. One will have learnt to drive properly only when one it has all become second nature, in short when one has reached the level of what is known as õunconscious competenceö in Neuro-Linguistic

Programming, the well known contemporary technique of õLearning to learnö (OøConnor & Seymour, 1994: ; Andreas & Faulkner: 220-221; Edwards, 1995: 131).

However, it would be petty to fault Senge on this, given the over-weening dominance of the leftbrain mode of cognition in the history of the Western civilization (Edwards: 1979, 1995). From the Greeks onward, through the medieval hegemony of the Christian Church, and right into modern times, the West has a been a talking culture (de Bono:). It has set its greatest sstore by the knowledge acquired through the verbal or leftbrain mode of ratiocination. It can therefore aptly be termed a leftbreain culture (Alder, 1998b: 15-16), though it has increasingly begun to realize the limitations of its overwhelming dependence on this mode of thinking alone. And that recognition has largely come through the increasing scinentific interesstt in precisely those rightbrain modes of cognition that are systematically inculcated by the practice of the ancient Eastern techniques of meiditation, such as the Hindu, Buddhist and Taoist (Buzan and Dixon: ; Maslow: 1964).

The Indic civilization, in remarkable contrast, has modally had an inward, yogic orientation, with resultant insights and learning being valorized as the sum mum bonum of all knowledge. So much so that the well known Indologist and Anthropologist Prof. Agehananda Bharati has rightly considered the yogic traditions of meditation to be the greatest contribution of India to the world (Bharati:)! Moreover, this is a civilization that has specialized so highly in such techniques of rightbrain-tapping that it has developed over two dozen schools of meditation, both Hindu and Buddhist, in the course of over two millennia of highly individual experimentation and praxis.

In other words, since Indian culture places so much emphasis on the visual and holistic mode of cognition, such as that exemplarily developed by yogic discipline, it can very well be called a rightbrain culture. Further, the basic paradigm for much of yogic meditation is the ancient technique of kundalini-visualization. That is to say, the Indic methodology of kundalini-visualization, as in its contemporary and user-friendly avatar of **Saran's Model**, has plainly stood the test of time as a proven technique of rightbrain tapping. That being so, it will now be interesting to examine how exactly it achieves its aim of effective rightbrain management, in order also to see whether it can be anticipated *sixth discipline* for the learning organization.

Saran's Model as the Sixth Learning Discipline.   According to the reputed management trainers Joseph OøConnor and John Seymour, who

use Neuro-Linguistic Programming (NLP) in their work, Senge's fifth discipline of systemic thinking is most undoubtedly an essential skill for management (P.). However, as they go on to admit, (Western) managers are still in the dark about how this kind of holistic (i.e. rightbrain) thinking is to be systematically and effectively achieved. And the reason for this is simply that the art and science of systemic thinking is so antipodally different from the routine, linear (i.e. leftbrain) thinking that is so overvalued in the West, even though it actually represents only 10 percentô the *iceberg's tip*ô of our mental capacities!

On the other hand, we have seen that Saran's Model can provide the required sixth discipline that today's global manager is looking for. And that is because it is based on the time-tested Indic paradigm of Kundalini-visualization. To appreciate why this is so, we may now take a closer look at the effectiveness of yogic visualization, and thus of my eponymous Model. We may do this fruitfully by using the perspectives generated by the discipline of NLP, since it is explicitly about õ*increasing* people's effectiveness and *maximizing* their potentialö (Bradbury; 39)

According to NLP, which was developed in the 1970's at the University of California, the human brain receives inputs through the five outer senses, does its black box processing, and then the person acts as per the resultant mental outputs. Again, when a person thinks, he or she uses the corresponding five inner sensory modalities (Alder and Heather, 1999; 6-9). Of these, the three most commonly used are the visual, auditory, and kinesthetic (or feeling) senses. In a leftbrain civilization like the Western, with its historically anathematic attitudes towards inward experience, these inner or rightbrain modalities are of course grossly undervalued (Foucault;), as we have already noted.

Conversely, in a rightbrain civilization like the Indic, these selfsame inner experiential modalities are given a very high and *positive* valorization. As a result, there is a rich cultural capital available on tap, in so far as the ability to access and use the imagination is concerned. The denizen of such culture is also thus able, with a little bit of practice, to cathect the Indic knack for *systematic* visualization. For this ability to generate clear *mental images*, as cathected for instance in the typically Indic praxis of Kundalini-visualization, represents an innate (if *inchoate*, as in the Western civilization) potential of the human rightbrain in all cultures. Such disciplined visualization therefore only requires a little training, such as may be imparted with the Model described here, for it to be cross culturally replicated and utilized (Alder, 1998b: 33).

Accordingly with appropriate training in visualization, as with Saran's Model of kundalini-visualization, the nature of the human brain as a

cybernetic (i.e. goal-seeking) mechanism (Alder, 1998b: 123-125) can be brought into increasingly fuller play. The basic principle underlying the operation of this õ psycho-cyberneticsö (Maltz: 1997) is the biological tendency to seek pleasure and avoid pain. Thus, to the extent that one can exercise greater control over this mechanism, say by the disciplined use of India visualization techniques (Alder,1998b: 158), one can begin to canalize oneøs inner resources optimally. This is simply and easily done achieved by generating clear mental images of oneøs aims as already and pleasurably achieved, such as oneøs career and organizational goals.

One can thereby program oneself to achieve the vocational and a vocational goals that one consciously sets for oneself, by the systematic and synergies use of the three sensory modalities of NLP as described above. That indeed is the kind of self learning that NLP practitioners term õgenerative learningö, or õlearning to learnö (Oø Connor and Seymour, 1994: 20-22; Andreas and Faulkner :82) In short, Saranøs Model of India rightbrain-tapping quite patently constitutes the sixth discipline we are looking for, whereby we can internalize and thus operationalize Sengeøs fifth discipline of systemic holistic thinking, in a simple and practical manner. So it remains now only to conclude this disquisition by briefly examining whether that Model can also be considered the ultimate desideratum for the learning organization.

Saranøs Model as the Ultimate Learning Discipline. According to John Naisbitt (Buzan:289-292), the metatrend underlying the ten globel megatrends of the new millennium is õlearning to learnö. And this is precisely the õgenerative learningö that is õneeded to create a learning organizationö (OøConnor and Seymour, 1994:24). For it is learning that is generated by oneself from within, by tapping oneøs own unconscious or rightbrain resources.

There is already a slew of such techniques that are becoming increasingly popular in west. An interesting example of such learning is Georgi Lozanovøs superlearning (Maslow, 2000:256). This however is much too Passive since it is external to the learner, being based on certain kinds of music that are played in the background in order to help the learner access her rightbrain. On the other hand, the India type of rightbrain-tapping that is epitomized by Saranøs Model of kundalini-visualization is eminently pro-active, and therefore quite clearly constitutes the ultimate learning discipline, based as it is on over two millennia of intensive specialized experimentation in the India civilization.

In short, theoretical system-building such as Scngeøs, in the timeworn Western-philosophical mode of leftbrain-thinking, is no longer sufficient for organizations that hope to successfully operate in todayøs globalizing world. It is definitely inadequate if one is to **effectively** inculcate the fifth discipline of the learning organization, namely that of systemic or holistic thinking. For, going by stembergøs crucial three criteria of successful intelligence (Sternberg:2000), Sengeøs model fails to satisfy the crucial test of practicality even though it does meet the other two conditions of analytical soundness and creativity.

Conversely, Saranøs Model of systemic thinking meets all three of the above criteria. For it is eminently practical too, since it is both simple and effective, being based on more than two thousand years of orthodox and orthopractical finetuning within those timeworn India traditions of õpsycho-experimentaionö (Bharati:) that are subsumed under rubric of yoga. It is indeed the promethean tool sought by the new learning culture that is emerging globally, in order õlearn to learnö.

Finally, we may recall that yoga is nothing but a õdiscipline of the unconsciousö, according to the French scholar Louis Renou. Or , to use a contemporary idiom, it is a systematic technique for *tapping the rightbrain*, with its vast resources of systematic or holistic thinking. Therefore it can quite aptly be termed the sixth and ultimate discipline for the contemporary learning organization, for it provides the wherewithal to complement and thus *operationalize* Sengeøs overly cerebral and *leftbrain*-oriented õfifth disciplineö!

Conclusion:

Saran's Model and the Government as Learning Organization

It remains now only to show how this Model can be applied to the functioning of Government organizations. This can be done quit easily since Government is also a type of managerial organization, which is after all why there has been so much contemporary interest in the very concept of õManagement in Governmentö. In other words, Government can also be fruitfully treated as a type of Learning Organization.

In fact, it is high time that we in Government look beyond our conventional organizational development techniques. For instance, as McDermott and Shircore argue in their book on the õNew Managerö (p. 1), the stereotypical change management intervention that is usually is one that goes by the optimistic name of õsharing best practicesö., unfortunately, it is at best a õhit-and-miss processö! In short, such methods have willy-

nilly to be complemented by innovative HR practices, such as my own eponymous, cross-cultural Modelí .

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