

ISSN 2319-6157

THE ADMINISTRATOR

Journal of LBSNAA

February, 2016
Volume 57, Number 1



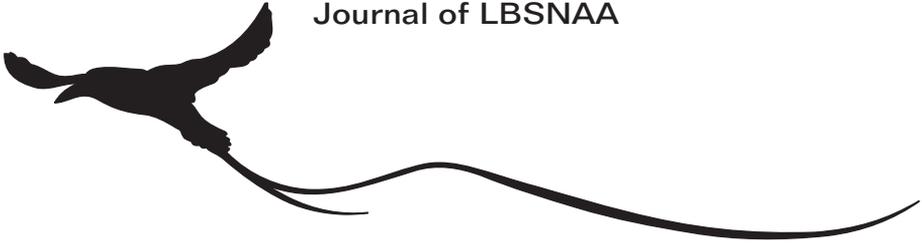
LBSNAA

Lal Bahadur Shastri National Academy of Administration

ISSN 2319-6157

THE ADMINISTRATOR

Journal of LBSNAA



February, 2016
Volume 57, Number 1

Editorial Board

Mr. Rajeev Kapoor, Director	Chairperson
Mr. Tejveer Singh, Joint Director	Member
Ms. Roli Singh, Deputy Director (Sr.)	Member
Prof. (Dr.) D. P. Uniyal	Member
Prof. (Dr.) Mononita Kundu Das	Member Secretary
Dr. Vivek K. Agnihotri	Consulting Editor (Good Governance & Challenges)



LBSNAA



Copyright © 2016 TRPC

Lal Bahadur Shastri National Academy of Administration, Mussoorie (Uttarakhand)

This Journal or any part thereof may not be reproduced in any form without the written permission of the publisher.

The view expressed and facts stated in the articles contained in this volume are of the individual authors and are in no way those of either the Editor, the institution to which he/she belongs, or of the publisher

Published by : TRPC

Lal Bahadur Shastri National Academy of Administration, Mussoorie (Uttarakhand)
Printed in India at Print Vision, Dehradun - 248 001

The Administrator

Volume 57

February, 2016

Number 1

CONTENTS

Case Study- Poorest of Poor	01
Introduction by <i>Dr. Mononita Kundu Das</i>	02
Poorest of Poor Family	
Goguloth Raju and his tea shop	07
Udaram Bawari the traditional Rajasthani footwear maker	10
V.Nancharaiah and his family of agricultural labourers	12
Munni Devi belonging to the community of 'bhunji' makers	15
Janaiah and his masonry skills	19
Madhavi & Shyamala the daily wage labourers	22
Muthulakshmi the 'beedi' roller	26
Than kamani the 'shell' collector	28
Ramesh Soma Dhadvi and seasonal employment	30
Harjeet and the practice of primitive agriculture	32
Satto Malik the manual labour	35
Good Governance and Challenges	39
Introduction by <i>Dr. Vivek K. Agnihotri</i>	40
Mid-Career Training Programmes (MCTP) for IAS Officers	
Political Economy of Civil Service Reform: Making Civil	53
Services Ethical, Responsive and Transparent	
Recruitment to Higher Civil Services	57
Capacity Building of IAS Officers: Incentivizing Intellectual Growth	61
Mid-Career Domain Specialization	67
Performance Appraisal	73
Empanelment and Promotions	78
Lateral Entry into Civil Services	82
Reorganizing Government	86
Learnings from the Private Sector	92
Protecting Civil Services from Unlawful Pressures	97

**CASE STUDY :
POOREST OF POOR**

Dr. Mononita Kundu Das¹

United Nations Development Program (UNDP) has been successful in bringing spotlight on the urgent need to mitigate global poverty through the Millennium Development Goals (MDGs). As per MDG report 2014, the number of people living in extreme poverty has been reduced by 700 million since 2000: from 47 to 22 per cent of the developing world's population and from 36 to 18 per cent of the entire world's population. Due to the large magnitude of success of UNDP in its youth and women's employment programmes the percentage of the world population living in hunger has decreased from 24 to 14 per cent.

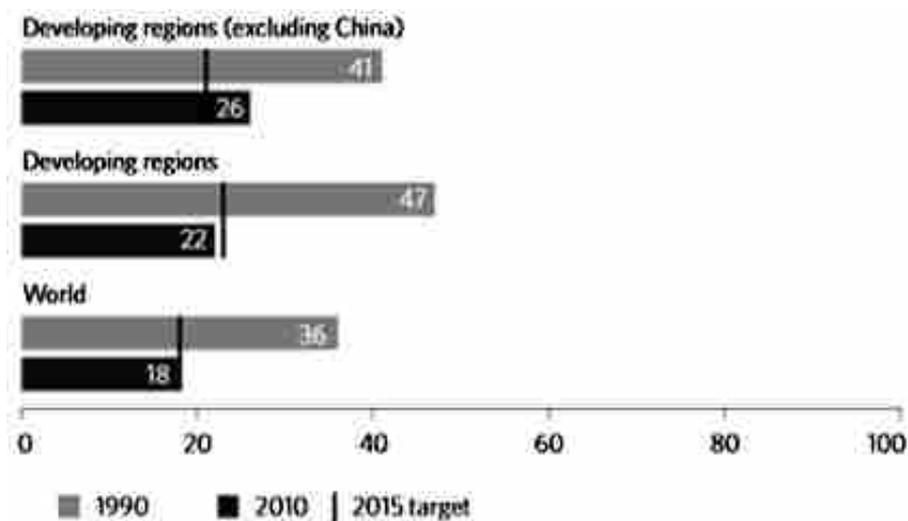


Figure 1: Poverty Eradication 2000-2010
(Source: MDG report 2014)

Eradication of poverty and hunger which is aimed for those in dire need is the first of the eight MDGs. This goal has been met even before the MDGs end (see figure 1 above). Sustainable Development Goals (SDGs), is the successor of MDGs' which

¹ Professor of Law, LBSNAA, Mussoorie.

² Extreme poverty is defined under MDG1 as those having an income of less than \$1.25 a day. This target was initially set at \$1 per day.

has been worked upon by UN Open Working Group and out of the 17 listed SDGs, poverty eradication is the overarching goal because it is the greatest challenge facing the world today and an indispensable requirement for sustainable development.

There has been consensus, throughout the UN Open Working Group negotiations, among member states for prioritising the goal of poverty eradication. The challenge has been to define exactly what poverty entails. The current goal in the outcome document is to “end poverty in all its elements everywhere”. The targets for this proposed goal are:

1. by 2030, bring to zero the number of people living in extreme poverty, currently estimated at less than \$1.25 a day in low income countries
2. by 2030, reduce by at least half the proportion of people of all ages living below national poverty definitions
3. by 2030, implement nationally appropriate social protection measures including floors, with a focus on coverage of the poor and people in vulnerable situations
4. by 2030 secure equal access for all men and women, particularly those most in need, to basic services, the right to own land and property, productive resources and financial services, including microfinance
5. by 2030 build the resilience of the poor and those in vulnerable situations to disasters, shocks and climate-related extreme events

Therefore, entire eradication of poverty in the next 14 years and emphasis on reducing poverty in all its elements including marginalised groups with attention on social protection, services, land rights and resilience.

On another developmental front, we find that the World Bank is changing its definition of the word “poor”. The World Bank is in charge of setting the global poverty line, in September 2015 it announced the raising of the line from \$1.25 to \$1.90 a day.

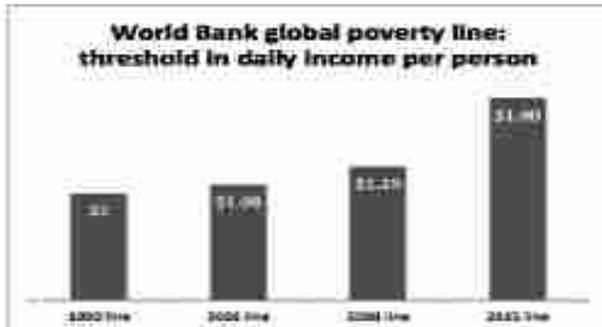


Figure 2: Data by Ferreira et al 2015
Source: Chart by Kenny and Sandefur, Centre for Global Development in Europe, London.

Poor in India underlines the ability of poor to survive even in the most adverse situations, with or without government support. The poor have their own mechanisms of surviving crises of extreme kinds, and supports extended to them by government have mostly brought about short term relief for them. It is mostly by means of a variety of enterprises, characterised by varying degrees of risk and returns, that the poor have been able to survive the odds. Homogeneity on class lines appears to be the rallying factor of community dynamics. Instances of inter-class collusion are rare, and most transactions across class lines are driven by needs of survival. The status of women in general, however, has improved in the wake of enhanced mobility outside the household boundaries. Government support for elevating the status of the poor has been concentrated in the area of infrastructure-provision. While the State has been able to reach out to even the most inaccessible locations, maintenance of the provisions, e.g. drinking water installations, roads, primary health care institutions and elementary schools, remains an area of concern. Poor hardly have any role or inclination in the maintenance of the government services, even though their expectations from the government have always been on the high for upkeep and deepening of government support.

By definition, all poor people fall below a poverty line, whether defined by income, consumption or a broader bundle of monetary, non-monetary and subjectively determined assets. But not all poor people are poor in the same dimensions (poverty breadth); nor do they fall the same distance below the poverty line (poverty depth); nor do they all stay below the poverty line over the same length of time (poverty duration). The poorest are those who are on the bottom rung (or rungs), in all (or some), of any of these systems of characterising the poor³.

As part of the District Training, Officer Trainees of the Indian Administrative Services, are required to study the life story of the poorest of poor, in detail and analyze how they fell into poverty, deprivation they face and the Government policies & schemes for eradication of poverty. In this issue of Administrator, there is a portrayal of the poorest of poor in India, a compilation of eleven stories, prepared, documented & edited for brevity.

'Goguloth Raju and his tea shop', is the transformation of the life of the 42 years old G.Raju who was earlier involved in distilling country made cheap liquor and at present with help and support from Government Schemes, is now the owner of a tea shop and is also, fighting throat cancer. The example of G. Raju's family shows that tackling poverty requires a multi dimensional approach.

'Udaram Bawari the traditional Rajasthani footwear maker', depicts the life of 45 years old Udaram Bawari, who is head of the family. He does not own any agricultural land. At the same time, Udaram is a physically handicapped person, and he cannot do any kind of heavy physical work. He took a loan of Rs. 10,000 as

³ Working Paper 'Very poor, for a long time, in many ways...' by Karen Moore, Ursula Grant, David Hulme and Andrew Shepherd, Brooks World Poverty Institute, Manchester, UK.

Swarozgari (Individual loan taker) under Swarnjayanti Gram Swarozgar Yojana (SGSY). He invested this loan into buying raw materials and tools for making and repairing *Jooties* (traditional Rajasthani footwear), with which he started to obtain his livelihood.

'V.Nancharaiah and his family of agricultural labourers', narrates the struggle of the family which is already in a debt trap with head of the family hit by almost irrecoverable and permanent state of paralysis.

'Munni Devi belonging to the community of 'bhunji'', makers, which is part of the OBC grouping in the state. Her husband had deserted her, in the course of time she started working in MNREGA and also working in other peoples' homes to make some extra money. The village functionaries had a mindset that if one beneficiary got the advantage of one scheme, they should not be given the benefit of another, so Munni Devi got Lohia Awas, she did not get Samajwadi pension.

'Janaiah and his masonry skills', is the story of the family belonging to the Mala Community, which is a caste classified as Scheduled Caste. Janaiah and his wife are illiterates and have not had any form of formal schooling. Janaiah's family situation and his life can explain the everyday life of a poor person in Gollagudem village given the fact that most of the men today are wage seekers in the construction and mining industry.

'Madhavi & Shyamala the daily wage labourers', whose family does not, been have ration card for the past 10 years. The main causes of poverty as observed can be categorized as landlessness, illiteracy, lack of skills and alcoholism.

'Muthulakshmi the 'beedi' roller', aged 46 years presents a curious case of a destitute poor. Muthulakshmi didn't inherit any ancestral house or jewellery or any other source of income. Her economic woes compounded by physical weakness, Muthulakshmi could never go out and seek casual labour work-either in agriculture or domestic. The only recourse was to involve in beedi rolling and earn a living. The only benefit Muthulakshmi derives from the government is the PDS provisions at a highly subsidized price. With Tamil Nadu government extending Table fan, mixer and grinder to ration card holders, she had also received them. Muthulakshmi is a case study which highlights the plight of many destitute poor who live in abject poverty.

'Than kamani the 'shell' collector', is a BPL card holder which entitles him to rations at the PDS shop. Than Kamani stated that they use the card mainly to buy kerosene as they have no LPG connection and electricity. She got her house built under Indira Awas Yojna during 2007-08 and this is the greatest contribution to her by government. She collects shells in backwater and sells them to nearby business man for meager prices. Her monthly income is around 1000- 1500/- and her family has no other source of income.

‘Ramesh Soma Dhadvi and seasonal employment’, narrates the woes of a 40 year old Kokna tribal, uneducated, unskilled, landless farmer from Morkal village in the Union Territory of Dadra.

‘Harjeet and the practice of primitive agriculture’, is the nuclear family of six persons living in the village of Kaimbala, in the planned city of Chandigarh. The income of family is based solely upon agriculture, which is subsistence and primitive. The analysis of land records shows how the ancestral land is distributed and hence resulted into fragmented land holdings.

‘Satto Malik the manual labour’, is the head of the family. As the family has no land to cultivate therefore the family survives on manual labour and making bamboo baskets. The family does not own any land. They live in house made of thatched roof. They do not have toilet in their house. Satto Malik usually goes for the manual labour and earns in the range of Rs.100-Rs.180 per day depending on the number of working hours. If he gets work under MGNRES, he gets Rs 162 per day, but many times payment of wage is not regular. Belonging to the *dome* community these people are not able to benefit from the Govt. Schemes.

Confronting, alleviating and eradicating the poverty of the poorest must be a moral one. The poorest people live in harsh environments and face multiple and extreme forms of discrimination, exclusion and disadvantage. We need to recognize that the poorest people are themselves the key figures in challenging their own poverty.

“Massive poverty and obscene inequality are such terrible scourges of our times—times in which the world boasts breathtaking advances in science, technology, industry and wealth accumulation—that they have to rank alongside slavery and apartheid as social evils.”

(Nelson Mandela, 3 February 2005, Trafalgar Square)

We hope this qualitative description will help the policy makers understand the need of poor and hopefully develop the policy and schemes better.

CASE-STUDY 1 :

Goguloth Raju and his Tea Shop

Adwait Kumar Singh, IAS (P) 2013, Telangana

Goguloth Raju's family has been residing in this village for more than *forty years*. The family comprises of Goguloth Raju, his wife Yadamma and their son Aravind and daughter Archana. Goguloth Raju is aged 42 years while Yadamma is aged 34 years. Aravind and Archana are 15 and 12 years of age. Goguloth Raju's father and grandfather were residents of *Babai Cheruvu Thanda* in the same village *Veernapally*. Two years back their family has shifted from the *thanda* to the village. Presently they reside at Subhash Colony near Grampanchayat Office near *Ellamma Gudi*. The family belongs to the ST community. Their current place of residence is a place habited by different communities like SC, BC, and ST.

Earlier Raju was involved in distilling country made cheap liquor popularly called as *gudumba*. Since Veernapally has come under the Sansad Adarsh Grama Yojana, Goguloth Raju on the persuasion of the Hon'ble Member of Parliament has given up this trade. In lieu of his giving up the trade, he has been provided financial support to start a tea shop. This tea shop commenced business in December 2014.

Yadamma (wife of Raju) has enrolled for MGNRES work but on account of her husband's ill health she has not been a regular worker at the site. After starting the tea shop, the couple has been working hard to transform their economic situation. Lack of sufficient training and improper financial management has prevented them from making the best use of the opportunity given to them. However, as time passed improvements in the functioning of the shop could be noticed. If they are provided some assistance surely they will be able to develop their business in a professional manner.

The ability and capacity of G. Raju to work and earn for his family has been severely limited due to the life threatening throat cancer which was diagnosed 5 years back. This ailment had severely incapacitated him during different times in the past few years. Initially he showed the lump in his throat to the doctors at the mandal level and district headquarters. The disease could not be diagnosed at these levels. Consulting private doctors took a toll on his purse. One of the prime reasons for this family not coming out of poverty has been the disproportionately high out of pocket expenditure on health. Finally his cancer was cured at a corporate hospital in Hyderabad. The expenses in getting him cured exceeded 5 lakh rupees.

Another problem which has exacerbated their misery is the dependence of the family on the income of G Raju. During the periods when Raju was unable to work, the family had tough time making ends meet. They had taken debts to secure money for the treatment of Raju. They even sold their agricultural land. The money was taken at the interest rate of 30% and the family sold 2 acre of their land to redeem it. After having undertaken new business of running the tea stall, family has been receiving steady flow of money. Yadamma is also a member of Sai Durga SHG group. After joining SHG, the financial position of the family has become more secure. They have received 33,000 as bank linkage amount from SHG and have also been sanctioned 20,000 from Srinidhi Bank.

G Raju has studied upto 7th class and is in a position to read and write properly. Yadamma is illiterate. Their son is studying in class 12 from Government College and their daughter is studying in 8th class. The couple is interested in providing their children higher education.

Presently the source of income for the family is the tea shop .Gogulotu Raju and Yadamma have also started selling snacks to supplement their meager income. This shop brings them a monthly income of Rs 3,000/-. In addition to this Yadamma's participation in MGNREGS labour fetches her 3,000/- monthly. Apart from this they do not have any other source of income.

The example of G. Raju's family shows that tackling poverty requires a multi dimensional approach. It has been observed in the third world countries that poverty is a vicious cycle. Since the poor people have no savings they do not have the propensity to withstand shocks. As a result any event which is a drain on their purse tends to send them back into the poverty trap. In the present case health expenditure was a major economic cost for the family. Poor health prevented Raju from continuing his work. Since the family was predominantly dependent on the income of Raju for survival, they faced acute economic crisis during his period of illness. Moreover the amount spent on curing the illness sent them spiraling into the vicious cycle of poverty. The loan they undertook at high rates also saddled them with huge economic liabilities disproportionate to their sources of income. The present case study has showed that lack of borrowing at viable rates of interest has caused great hardship to the poor. The problem is further compounded by the lack of social security for the poor. MGNREGS is treated by the poor as a form of economic security where they can get some money in times of need. However the execution of MGNREGS is also beset with its own problems. Nonetheless its impact on ameliorating the distress in the lives of the marginalized cannot be disputed. From the above case study we can also see that an effective and equitable health and social security system is a must if there has to be an improvement in the lives of the marginalized and the down trodden. A functional and effective system leaves poor with a greater disposable income which can help them save and invest more. This helps start a virtuous cycle where these savings and investment can help poor people tide over periods of economic distress. The above example has

also demonstrated that if poor are given some training and education they can manage their finances in a better manner. Education not only gives them the exposure and knowledge but also the confidence to shape their destinies through their own endeavors. Hence the state should also help to provide entrepreneurial and vocational training to help the communities stand on their own feet. The case study confirmed the role of the state as an agency which can help support the weak and poor eke out a dignified life. However the mode of providing help should not be limited to handing out subsidies. The communities should be trained to develop resilience through proper economic and vocational support. Writing this case study was a deeply enriching experience and helped me understand the problems that a poor person in remote area faces.

CASE-STUDY 2 :

Udaram Bawari the Traditional Rajasthani Footwear Maker

Ashish Gupta, IAS (P) 2013, Rajasthan

Gundoj gram panchayat is situated in Pali sub-division of Pali District. In revenue village Gundoj there are 98 families which are living below the poverty line. Among the families residing in Gundoj one BPL family can be classified as poorest of the poor. Udaram Bawari S/o Hema Bawari (45 years old) is head of the family, and he does not own any agricultural land. At the same time, Udaram is a physically handicapped person, and he cannot do any kind of heavy physical work. Since Udaram is poorest of the poor his financial situation is precarious to say the least. Udaram is forced to take a financial loan from a neighbor for alleviating his poverty; and he is always in debt. Also, Udaram was living in a *kattcha* house with his family, and thus did not have a Pakka house to shelter him and his family. Udaram's family consists of his wife Hanja (38 years old) who is illiterate, and his daughter Samudi (15 years of age). The main issue here is that Udaram cannot work as a casual laborer, either in construction activity or as agricultural laborer. This severely limits his ability to earn. Since Udaram could not be employed in any work outside of his house, he decided to work within the four walls of his home. He took a loan of Rs. 10,000 as *Swarozgari* (Individual loan taker) under Swarnjayanti Gram Swarozgar Yojana (SGSY). He invested this loan into buying raw materials and tools for making and repairing *Jooties* (traditional Rajasthani footwear), with which he started to obtain his livelihood. This venture earns him an income of Rs. 3,000-4,000 per month. At the same time, Udaram applied for State disability pension which entitles a person with more than 40% disability and earning less than Rs. 48,000 per annum in rural areas to be eligible for Rs. 500 per month. This small income acts as a supplement to his income from the small business he runs at home. Udaram's wife Hanja works as casual laborer in the village. However, her wages are lower than the rate for men, and it is also difficult to find work as travel is restricted and less work availability in general. Hanja has enrolled for work under MGNREGA, which provides her for 100 days. The rate in Rajasthan in MGNREGA is Rs. 173 per day per laborer for full work as prescribed by the state. However, the rate that is booked is usually in the range of Rs. 120. Since payment is made for a fortnight, if she works for both the fortnights she earns Rs. 3,000 per month (with restriction of maximum of 100 days' work). Thus, she earns this amount for the days she works, and this income adds to the income that the income of Udaram. Another benefit that has accrued to the family is a *Pakka* house under the Indira Awas Yojana. Being BPL family, Udaram applied under IAY for construction of *Pakka* house. He received Rs. 75,000 in three installments: first installment of 25%, 2nd installment of 60% and third installment

of 15%. Thus, he was able to construct two small *Pakka* rooms where earlier stood the *Kaccha* house. Thus, Udaram and his family is able to earn Rs. 5,000 to 6,000 per month from activities that were initiated by the government or are completely government programs. This increase in economic power will also have a positive bearing on their girl child Samudi, as she will be able to now complete her education and not drop out of school to earn. Also, her nutritional needs will be taken care of in a much better manner. Secondly, even if there is variability in Udaram's income in terms of lower sales or low seasonal demand for his product there will still be the steady income from MNREGA and pension which along with savings will help the family to survive.

CASE-STUDY 3 :

V. Nancharaiah and his Family of Agricultural Labourers

C. Hari Kiran, IAS (P) 2009, Andhra Pradesh

The family is a resident of Bogireddipalli village of Machilipatnam mandal in Krishna district. V.Nancharaiah, the head of the poorest of the poor family is third son of V.Prasada Rao, who has 3 sons and a daughter. V.Prasada Rao, 53 years, is an agricultural labourer who studied up to 5th class. V.Prasada Rao has a wife by name V.Bujji, who is 43 years old. V.Nancharaiah is married to Pavani, who is one of the five daughters of her father who is a tenant farmer in a nearby village. Nancharaiah and father Prasada Rao live together on same piece of land adjacent to each other in individual thatched houses.

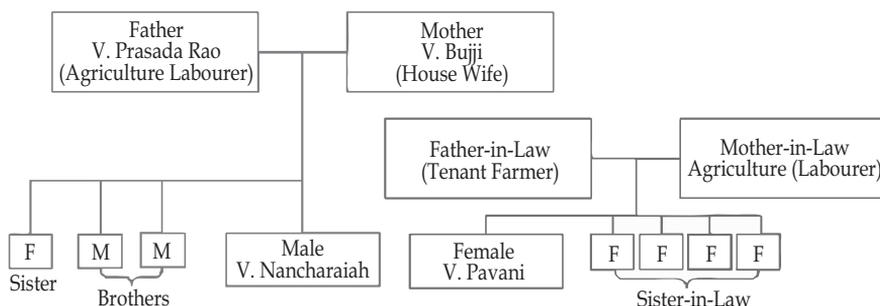


Fig.1: Historical sketch of the family M-Male, F- Female)
(All the relations in sketch are in reference to V.Nancharaiah)

The family belongs to schedule caste. The head of the family and his wife have studied up to class II. The family owns a piece of land on which they are living in a thatched house. Head of the family and his wife worked as agricultural labourers till the time before 8 months. Labour work in the agricultural fields is seasonal. Labour is largely employed during sowing and harvesting season. Men are paid Rs.150/- per day and women are paid Rs.100/ per day. Both the members of the family used to earn Rs.25,000/- per annum from agricultural labour (taking 100 days of labour per person per year). Including miscellaneous sources of income during rest of the time, their annual income used to be Rs.30,000/- to Rs.34,000/-.

About 8 months back the head of the family is struck with paralysis and has no strength in his nerves to lift his hand and move his leg. Hence, he is not able to go to work now. As on today, only his wife is going as labour in agriculture fields. Now

the family is able to get only about Rs.10,000/- per annum.

V.Nancharaiah is now dragging his family by depending on- his father V.Prasada Rao, who is an agriculture labourer. The two children in the family are going to government school in the locality.

Coming to their day-to-day life, the main source of livelihood for father of V.Nancharaiah who supports his son's family is agricultural labour. Pavani too goes for work in the fields during the season. Pavani frequently goes to her mother's home in Gudumutu village (about 50 kms from Bogireddipalli) to get rice, as her father being a tenant farmer is in a better economic position vis-a-vis her family. At present, she was away for a month and has not come back.

The main cause for the poverty of family is paralysis to the head of the family i.e., V.Nancharaiah. This occurred to him while carrying load of paddy over his head as a labourer. His nervous system had crippled and he collapsed on the spot. He had to subsequently attend treatment on a regular basis and the family had to empty their meager saving and got into debt. It now has a debt of about Rs.20,000/- which they are now not able to repay.



House of V ampugani Nancharaiah in Bogireddipalli village

The family had one other shock before, when mother of V. Nancharaiah had heart attack 5 years ago. Then also the family went into debt trap, which they were able to clear subsequently. Immediately after clearing of the loan for heart attack, the family's economic status got hit because of the paralytic shock like a bolt from the blue. Monthly expenditure on medicines and doctor visit of V.Bujji and V.Nancharaiah is about Rs.500/-

V.Prasada Rao, father of Nancharaiah and Pavani, wife of Nancharaiah work as labourers in the agricultural fields on an average for at least 60 days each per

annum. V.Bujji, mother of Nancharaiah cannot go for work because of her fragile health condition. Hence these two earning members feed themselves and 4 other members of the family, in total six. Both of them earn out a living of Rs.6,000/- each from agricultural labour in a year and about Rs.6,000/- from other sources during the year. Hence the family income for 6 members of the family comes to about Rs.18,000/- to Rs.20,000/- per annum. The family is already in a debt trap with head of the family hit by almost irrecoverable and permanent state of paralysis. Hence, it doesn't have further ability to withstand any shock in near to medium future of 15 years till the time children grow up. Moreover, the ability to withstand any shock after 15 years also is dependent on the progress of their children and education to which children are exposed to and also their ability to receive the imparted education in the intervening time. Till then, family should drag its livelihood with the mercy of the circumstances.

V.Nancharaiah is getting physically handicapped pension of Rs.500/- per month since one month. As of now this is the only benefit he is receiving, but he can volunteer to do unskilled manual labour in MGNREGP scheme where there is a special provision for physically handicapped (PH). The PH people need to a meager work vis-a-v is a normal person to get the payment.

A unique community health insurance scheme was introduced by government of Andhra Pradesh in 2007 called Aarogyasri. A total of 887 diseases are covered under the scheme, where cashless treatment is provided to BPL people. Unfortunately, the sustainable treatment for paralysis by hospitalization on a short term to long term basis is not included under the scheme. In future, it should be included so that benefit reaches to the door step of people like Nancharaiah to walk and work without restriction.

CASE-STUDY 4 : **Munni Devi Belonging to the Community** **of 'bhunji' Makers**

Divya Mittal, IAS (P) 2013, Uttar Pradesh

In the village of Saraiyya Mulhai, Munni Devi was living in an under construction pakka house-a Lohia Awas. She had a toilet which came with the Lohia Awas and was using the same.



Lohia Awas belonging to Munni Devi



Swachha Shauchalaya as part of the
Lohia Awas

But that was about the only thing that was right in her life. She belongs to the bhurji community which is part of the OBC grouping in the state. Her husband deserted her and left to work in Rahimabad in the same district. He visits rarely and sends no money. She had one daughter, who she married off.

Her community traditionally did the work of 'bhunji' that is roasting matar, layi, chana etc. She earned mere Rs 2-3 or 100 gm on roasting one kilogram. And earned upto Rs. 500/- per month in a good month. This was totally insufficient for sustaining life.



Munni Devi with her khadai

Then she started working in MNREGA and also working in other peoples' homes to make some extra money. She saved up some money and took a petty loan and purchased one goat. She bought the goat for Rs. 1500/- five months ago. She is expecting to sell it for a profit in some time. Since there is no market for goat milk, currently it is only an economic outflow.



Munni Devi and her goat

The causes of her poverty can be summarized in one small paragraph. Munni Devi is around 65-70 years of age and is completely illiterate. Having no training what so ever, she is completely unskilled. The only work she has seen being done in her family and what she can do is that of the traditional and uneconomical role of a 'bhunji'. Having no land, she has no alternative source of income. Also economic management is not something she has any idea about.

The government provides free health care facility to the poor. But to reach the nearest CHC, it costs her Rs. 20/- and a lot of time. She says she goes to the nearby Mullah when she falls ill. The medicine rarely costs more than Rs. 20/- and he

gives credit too. She has no idea about the credentials of the person and doesn't really seem to care.

The woman lived practically on the edge, waiting to fall off any moment. But then I discovered this was not all. She had probably already fallen off. One year ago her only daughter fell ill. She was diagnosed with Japanese Encephalitis, a viral disease caused by mosquitoes. She was already married by then but the in-laws refused to foot the medical bill. Hence the responsibility fell on Munni Devi completely. That just eroded any safety net that she may have had. Having no access to any credit, she turned to friends and family. A rich Brahmin of the village named Sanjay lent her Rs. 10,000/- (Rupees Ten thousand) and she got another Rs. 5,000/- (Rupees five thousand) from a distant relative who lived in a town, Maiku. Munni Devi now has a loan of Rs. 15,000/- and absolutely no means of paying back. It is to the credit of the village community that the people provide a safety net to each other. Sanjay and Maiku never ask her to give back the money and probably do not expect anything. She says she was extremely lucky and probably did good karma in her past life that her daughter survived. She also thanks the stars for Sanjay and Maiku. It is indeed good luck that she did not fall in the hands of a greedy moneylender. Maybe her newly constructed Lohia Awas or her goat, her only two modest assets.

The problem with Munni Devi is that she is not part of the traditional marginalized communities. She is not part of the SC community. Most schemes have a separate SC component and that gets a lot of monitoring. For instance, the NRLM scheme is focusing on making SC women SHGs. This is leaving out women like Munni Devi.

She is effectively without a husband, but is not a widow. This makes her ineligible for the widow pension.

She is more than 60 years of age, but her name does not figure in the 2002 BPL list, which makes her ineligible for old age pension. The 2002 list is in a serious need for a revision. There were large scale problems in that and this is a classic case of an exclusion error.

For the same reason, she does not have a ration card. Due to sympathy of the villagers, she was given part of the PDS ration on the Antyodaya card of an absentee beneficiary for some time. That card has now been cancelled in a drive to eliminate ghost beneficiaries. She pays Rs. 20/- per Kg for flour and Rs. 20/- per Kg of rice. Other eatables are also extremely expensive for her.

There was the state government scheme of Lohia Awas which intended to benefit people who are poor but do not figure in the 2002 BPL list. People like Munni Devi. This was to give Rs. 3,00,000/- (Rupees Three Lakhs) to construct a house and Rs. 12,000/- (Rupees twelve thousand) for a toilet. This is the benefit that she got this year. This was a valuable addition to her extremely modest asset base. But the only problem is that a house does not give food to eat and does not provide any source of income.

Another scheme of the state government is the Samajwadi pension scheme. This

was to provide a pension of Rs 500/- per month to all beneficiaries. The condition being that they should not be getting any other pension (like old age pension/ widow pension/ disability pension). But Munni devi's form was not filled for this. Mostly the village functionaries said that they had announced about the scheme properly and people who were in need for the pension did come and fill the form. Munni devi says she never got to know about the scheme and there was no announcement.

The village functionaries had a mindset that if one beneficiary got the advantage of one scheme, they should not be given the benefit of another. So if someone gets a Lohia Awas, she should not get Samajwadi pension. The apathy makes them blind to the fact that the house is not going to give her any money to live.

Overall the problem seems to be that the governments are designing specific schemes to help the traditionally marginalized communities. But the poor who slip out of that mould are left to fend for themselves. The monitoring is also designed around those communities and the overworked village functionaries are more interested in fulfilling their targets than to see which poor is getting left out.

Munni Devi is not alone in a population of 120 crore Indians. We have always heard of exclusion errors and they could be of any community or caste. The reasons for the same could be different but the misery they bring to those excluded people is the same. These exclusion errors directly infringe the 'Right to Life' of these citizens.

What can be done about the exclusion errors? What institutional mechanisms need to be put in place for preventing such errors? Should there be universal schemes independent of caste or status? The basic question is that how do we make sure people like 'Munni Devi' live a life of dignity and not just exist!

CASE-STUDY 5 :

Janaiah and his Masonary Skills

Hari Narayanan, IAS (P) 2011, Andhra Pradesh

Janaiah's family has been identified as belonging to the poorest of the poor category by the Society for Elimination of Rural Poverty. Janaiah's family of four persons (Husband, Wife and 2 Sons) and they have been residing Gollagudem since the last three decades. Janaiah is a native of the village given the fact that his father Ramulu, 80 years of age, was born in Rajannapeta hamlet of the same village. Ramulu still survives all by himself and for the record isn't part of his son's family.

The family was originally inhabitants of Rajannapeta hamlet. The family later shifted to Gollagudem close to Scheduled Caste colony when the entire hamlet of Rajannapeta had to be relocated. The family belongs to the Mala Community, which is a caste classified as Scheduled Caste. The community played a role in their shifting to Gollagudem only not to feel alienated. Ramulu raised his family similar to that of the weaker section peasant families working in the agricultural lands of the Muslims and the upper castes.

The family is recognized as belonging to the BPL category in line with the norms lay down by the state government unlike many other families in the village who do not deserve the categorization. The family can also be identified as one belonging to the landless labour class. The family survives only on the income of Janaiah, a daily wage mason in the construction industry earning Rs.250/day. Neelema who also used to work for daily wages does not go to work anymore due to ill health.

Janaiah and his wife are illiterates and have not had any form of formal schooling. Janaiah though has ensured that he educate his children. Both his sons are doing their graduation in professional courses aided both by the government and through borrowings by the family. The family has taken loan from the moneylender at a rate of 36% through Neelama's family. The family owns no asset except a single room semi-pucca house without a latrine. The family members still continue to defecate in the open fields.

Neelama's ill health is one of the reasons for the family being unable to come out of poverty. She suffers from a spinal cord problem and the family has to spend a lot of money in treating her availing loans from the moneylender. She is mostly treated in the private clinics and when money isn't available they go to the government hospital. Another important factor contributing to poverty is that the entire family survives only on the income of a single person. The children go to work only when they aren't attending college. Given the increasing cost of living it becomes almost

impossible to manage with a monthly income of Rs.5000. In his zeal to provide education for his children Janaiah has kept them away from work but this comes at a cost. Janaiah also has to finance his debts through his single income. With absolutely no other means of survival excepting Janaiah's masonry skills the family will have to wait till the children can get better employment to change their present situation.

Janaiah's family situation and his life can explain the everyday life of a poor person in Gollagudem village given the fact that most of the men today are wage seekers in the construction and mining industry. Further the case will apply only to the really poor people and not those who have been falsely identified as belonging to the BPL category. The occupation might be termed as daily wage but in the construction industry or for that matter even agriculture wages are paid once a week. Daily wage only pertains to the amount to be paid at the end of the week calculated over the number of days.

Purchase of essentials primarily groceries and vegetables would be on top of the list when one receives his weekly wage. In case the quality of rice issued by the PDS isn't satisfactory then it would mean extra expenditure on that too. Next on the list would be health and a small amount would be retained to run the family over the week. If there is anything that remains it goes into settling of debt. For a poor person in a village there aren't many options. It is about everyday work, food and rest. The other issues come into existence only when there is sufficient money to address the issue. In the case of Janaiah, he has gone an extra mile to provide education to his children despite it being beyond his means.

The occupational pattern of the poorest of poor families in the village is seeing a shift from the agriculture sector to other sectors. The male population has started looking towards the construction and mining industry given that the wages paid are higher than the agriculture sector. The agriculture sector would pay a maximum of Rs.200/day to a male worker on the other hand in the mining industry the wage can be as high as Rs.400/day. The women mostly continue to work as agricultural labour. At the same time women also are being to look at other options primarily the class 4 jobs like sweepers, hostel assistants, domestic help, etc. in the growing service sector. With the shift in occupational pattern there is a good chance that some families can come out of poverty provided no extreme adversity strikes them.

The family belonging to the poorest of poor category it was important that government interventions reach them. One of the most beneficial interventions is the Post-metric Scholarship Scheme of the state government. The state government provides scholarship to the tune of tuition fees to be paid by the student. Also it gives each student a monthly maintenance fees. This scheme is available to all students of the Scheduled Caste community who belong to the BPL category. This scheme has played a significant role in Janaiah being able to provide education to his children. Neelama attends work under the NREGS program. Unlike the work in agriculture field or in the private sector here she can choose to do lighter work with the help of her colleagues. During the NREGS work season this comes as extra

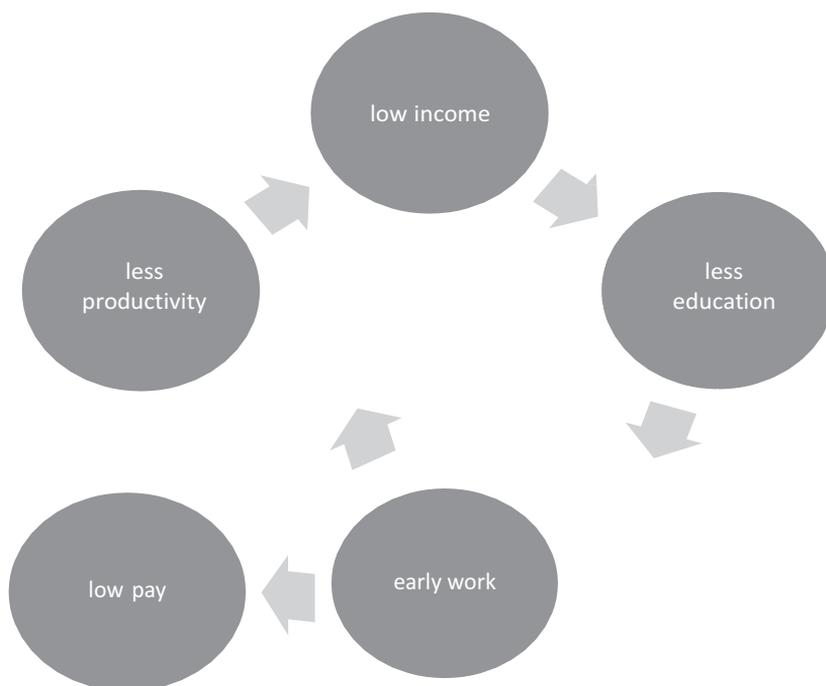
income to the family. Apart from the above the family also benefits from the PD system. A request was that the quantity of rice and dhal supplied at the fair price shop be increased.

The study of Janaiah's family provides a real insight into status of a poor family not pseudo poor. Janaiah's family is an example that villages in India still have families who survive on a daily basis. Janaiah might have graduated from being an agricultural labourer to a labourer in the construction industry but still continues to be poor. When all is going well and a sudden adversity strikes them it is beyond their capacity to come out of it. Families like that of Janaiah's require something more than the ordinary to come out of the situation they live in. It might happen with the suitable employment of his educated children. Only such generational changes can liberate a family from poverty. When Gollagudem is soon to become part of the larger Khammam city, in the corner of its SC colony there still lives a poor landless labourer making his ends meet and hoping that the education of his children would bring change in his life.

CASE-STUDY 6 : Madhavi & Shyamala the Daily Wage Labourers

Haritha V. Kumar, IAS (P) 2014, Kerala

Poverty anywhere and everywhere is a disabler. It saps the inherent capabilities of an individual and leaves him less productive only to perpetuate itself. That's why we hear about the vicious circle of poverty.



But poverty has regional variants. The intensity of how much it strikes will be dependent on historical and sociological factors. It is also largely dependent on the government policies and the implementation of the same. In Kerala, because of the awareness of the people, absolute poverty, boiling down to starvation would not be existing. Also due to the well functioning panchayat raj systems and hyper sensitive media, any such case would be easily in the public domain. Therefore in Kerala the poorest of the poor are usually the people who are at the margins of the information society either due to historical reasons or due to the choices they make.

In Thillenkery the first problem, which was brought to my notice was that of two colonies-Illam and Shankarankandy-both S.T colonies who lived from the 1950s and 1960s in the land of two major landlords as helpers. They were in possession of these lands by 'vakkaalcharthu'-oral permission. The 'janmis' property exceeded the ceiling limit and were assumed by the government. But did not have any recordal proof to establish that they were the possessors of that land. Till last year, the panchayat used to give IAY houses with the certification of the eldest of the colony. But the rules have been made stricter now, and this hinders the housing opportunity to these truly deserving people. Now efforts are on, to give them RoR atleast by the district administration with the concurrence of the Government.

Madhavi's family-Madhavi's family has 3 members-Madhavi aged 38, illiterate and not ready to do any job, Manoharan, Madhavis husband who has studied till 4th standard and is a daily wage labourer. They have a daughter, Unnimaya who is studying in 6th standard. They have got a house under IAY. But has no records to show that the land belongs to them. The house is in 4 cents of land. The house has been built by a contractor. They don't even know how much was the amount they got from panchayat. The corresponding card receipt is with the contractor. It does not have electricity. They don't have latrine. They have smokeless chullah. The family income is the wages earned by Manoharan who earns 350/day. On an average he will have job for 15 days which makes 5250 their income. Generally speaking they can make both ends meet with a family of three.



House of Madhavi

Now comes the real reason why they can be classified as the poorest of the poor. The family has not been having ration card for the past 10 years. The family says that they attended a camp, somewhere for updating of ration cards and has submitted their card there. There after they have been living without a ration card. That makes them excluded from the 35 kg rice, at Rs.1. So now they buy rice at 30 Rs/kg. Also the other items of purchase include soap, tea powder, kerosene and

rarely vegetables. 'Kanji' is the mainstay of the family. The husband leaves at 6'o'clock and comes back only around 9 p.m. He admits that both husband and wife drink and will have to spend a part of their income on that. At times the husband goes to Virajpeta in Karnataka to do casual labour and comes back the next day. They have the rice cooked of yesterday in the morning for breakfast. The wife cooks rice for the afternoon. The kid has midday meals from school. The husband has some food from outside which also costs him hugely from the pocket. Madhavi and Manoharan are in the habit of chewing pan always. This also hampers their hunger. To the question, whether madhavi couldn't take up MGNREGS work, she replied that she is unable to do physical labour. Without a latrine, they use the neighbouring un-weeded tree and plants crowded area to attend natures call. For health related consultations, PHC is the chief point of contact. In case of an emergency, she said that we will borrow from her husband's co-workers. One thing to be noted in paniya families is that there is a thorough lack of enterprise and feeling that everything should be provided by Government for free. But information deficit and a general suspicion towards the outside world can be seen.

Shyamala's family- Shyamala's family consists of her husband, a casual worker, and 2 children who are students. The difference is that Shyamala tried to construct the IAY house given to her, herself without employing a contractor. As a result of which she spent the money, she got for something else and now the house is unfinished, and her family is staying with her father and sister's family in a house which doesn't have proper roofing. Also, her husband is an alcoholic used to battering his wife. Half of what he earns goes down the beverage drain without contributing to the well-being of his family. This is the sad situation in many of the Kerala homes.



House of Shyamala

All together the causes of poverty as observed can be categorized as landlessness, illiteracy, lack of skills, alcoholism etc. Regarding IAY, wherever S.T families have been entrusted with house construction, the houses remain unfinished. When the contractor does it for them, they have no information on the amount released or the money spent. MGNREGS jobs have not been available for 100 days, mostly because ever since, the works which could be taken up under MGNREGS has been narrowed down, it is difficult for the authorities to find out eligible jobs. Also delayed payments by around 2 months, is also another dampener.

CASE-STUDY 7 : Muthulakshmi the 'Beedi' Roller

J Meghanatha Reddy, IAS (P) 2014, Tamil Nadu

No other word evokes more socio-political emotions than 'poor' in our country. The foremost goal of any government is to address the concerns of the poor. Poverty alleviation programs attract a huge chunk of public expenditure in our country.

Life of poor has been the subject of intense political, social, economic and even philosophical inquiry in our country. No other story can get more fascinating than '*Daridra Narayan*' struggle and sacrifice to earn one square meal a day.

It is pertinent for administrators to have a dispassionate view on poor and the nuances of poverty. This is due to the largely coloured and partisan portrayal of poor and his/her life. Research reveals that the major problem in tackling poverty is the lack of clear understanding on the poor and their problems. Poor are often painted with the same brush and seen as a homogenous group. The truth is that poor, their poverty levels and their opportunities and challenges vary across geographies. The present attempt is to understand the life of a poor person-her expectations, wants, fears, emotions and struggles. This case study presents the curious case of Muthulakshmi-a resident of Maranthai-her life and livelihood.



The Life and struggle of MuthuLakshmi

Muthulakshmi, aged 46 years presents a curious case of a destitute poor. Born as a second daughter in family of 4 daughters in Maranthai village, she could complete only primary education due to family conditions. The fact that it was only daughters in the family and she being the second and had to tend to the younger ones weighed heavily against her education. Though they belong to a socially dominant community, her family lived through abject poverty and had very little sources of income and livelihood.

Muthulakshmi's life took a curious turn when, on the 3rd day after her marriage, she decided to walk out of the relationship for reasons untold. Her family life never took off and she formally ended her marriage subsequently. This was followed by the death of her parents in quick succession and Muthulakshmi became a destitute. Since social conditions cannot allow her to live with any of her sisters, she became a loner with very little to rely upon- financially and emotionally.

Muthulakshmi didn't inherit any ancestral house or jewellery or any other source of income. All that she inherited was two acres of land from her father, who received it from the government many decades ago. Unfortunately, this piece of land is located some 6kms away from Maranthai. Moreover, the land is situated by a hillock and remains fallow and barren due to soil conditions. Practically speaking this land is deadweight and doesn't yield any source of income. Not just that, this two acres 'possession' deprived her of many of the benefits that she ought to have received such as pension, government house/house site. All this turned her economic survival precarious.

Maranthai is known for its beedi rolling. With several beedi companies located around, beedi rolling is the source of livelihood for many women in this village.

Her economic woes compounded by physical weakness, Muthulakshmi could never go out and seek casual labour work-either in agriculture or domestic. The only recourse was to involve in beedi rolling and earn a living.



Muthulakshmi's only source of living-Beedi Rolling

Beedi rolling is a painful and excruciating work. The wages are not encouraging. For every 36 packs rolled [each pack has 14 beedis; 36 packs would mean 504 beedis].

CASE-STUDY 8 :

Than Kamini the ‘Shell’ Collector

Keshvendra Kumar, IAS (P) 2008, Kerala

In the Chellanam village, Smt. Than Kamani is a 58 year old widow, resident of the village, belonging to the Hindu Kodambi community. She belongs to Konkani community which migrated to Kerala centuries before. She is illiterate. Her husband who was a skilled worker died previous years due to accident in Kottayam district. She collects shells in backwater and sells them to nearby business man for meager prices. Her monthly income is around 1000- 1500/- and her family has no other source of income. She has 5 children. Two of his sons and one daughter are married and living nearby. There economic condition is also not very good. So, they are also not in a condition to help their mother .Her youngest son is helping her in shell collection. They have no relatives staying in the village and the District. They have no family support system to help them.

Than Kamani is a BPL card holder which entitles him to rations at the PDS shop. Than Kamani stated that they use the card mainly to buy kerosene as they have no LPG connection and electricity. The monthly quota of 5 ltrs. is not sufficient to meet their needs and has to buy kerosene from black market or buy firewood which again is costly. She also complained about the quality of the rice being supplied in the shop. She requested that at least 20-25 kg rice should be supplied per family at a rate of Rs.2/kg along with coconut oil (cooking), pulses and spices.

One more complain from her side was regarding malpractices by the PDS shop owner. She complained that the weight and measurement in the shop are faulty and shop owner is supplying them lesser quantity of items. She received Rs.3000/- from the Government as Tsunami Rehabilitation Assistance as their house was damaged by the Tsunami. She got her house built under Indira Awas Yojna during 2007-08 and this is the greatest contribution to her by government.

Her family has 4 cents of land received from government as a part of the land reforms process. She got a house built under IAY but due to high cost of building, her house is a kucha-pakka type house. Rs 75000 are not at all sufficient to build a pucca house in Kerala due to high cost of construction and labour. There is no maintenance grant, so she is not able to maintain her house due to her poor economic condition.

Her husband died in accident previous year. For his treatment, she spent Rs 10000 which she borrowed from his community members. Being a self-respecting woman, she wants to pay back that amount as soon as possible but she is totally helpless. The sadness of losing her life partner is even causing health problem for

her. She has not received any type of compensation from any one. Losing the bread winner of the family is making her life more miserable.

She has enrolled as worker for the NREGA but has received the card recently. Further she was not able to go out form work due to health problems. She is not in a condition to do any heavy work and she does not want her youngest son to go for NREGA work because it will hamper his study. At present, he is already helping her in shell collection after his studies. This has severely affected the income of the household. She is not a part of any SHG, Kudumbshree group. She has hired a small country boat for shell collection and after paying rent for it she is getting just Rs 500 hundred per month from this activity. Her family has no insurance/safety net to support them in case of problems. Even after her husband's untimely death, she has not received any money from government.

Enhanced quantity and quality of ration from PDS. Correct measurement of weight by shop owner. She needs scholarships for the education of her children to cover not only the tuition fees but also other costs like uniform, transport, stationery etc.

She is willing to work in SHG's or NREGA to enhance her income on the precondition that considering her health she should be provided some light work. She is unaware of any insurance facilities for the family but wants some security to be able to tide through difficult circumstances. She wants some counseling/treatment to take care of her depression caused by death of her husband.

It is evident that a part of her expectations can be met through NREGA, Public Health System and Kudumbashree projects. As far as measurement malpractice in PDS shop is concerned, I have instructed the supply officer to look into the matter and take strict action if complain is verified.

However, the matters related to house maintenance grant, more quantity supplied through PDS, Educational scholarships for her youngest son require suitable intervention at policy level. What is heartening is that she is full of hope about her future and wants her children to be free of poverty by becoming educated and employed. She is poor in monetary term but she is very rich as a human being. Even though she does not have any money with her but she is trying to repay the money she has taken from her community members for his husbands treatment even when they are not making any demand. She has a sense of self respect and hope.

CASE-STUDY 9 :

Ramesh Soma Dhadvi and Seasonal Employment

Mitali Namchoom, IAS (P) AGMUT 2011, Dadra & Nagar Haveli

Ramesh Soma Dhadvi is a 40 year old Kokna tribal, uneducated, unskilled, landless farmer from Morkal village in the Union Territory of Dadra. He originally belongs to Andharpada in Gujarat where his father was a small time marginal farmer. Fifteen years back, Ramesh moved to Morkhal upon his marriage to Sita Ramesh, also a Kokna to stay with his wife's family. Since he left his own home in Gujarat to settle in Morkhal, his family land was distributed among his uncles in Gujarat and for all practical purposes, Ramesh was dependent on his father-in-law for more than a decade.

Today Ramesh lives in an elongated one room shack of a house with his wife, Sita, 12 year old Ashmita who left school after the 5th standard, 8 year old daughter, Dipika who has never been to school and a nine month old son. Two of his elder daughters have got married and settled with their husbands. Ramesh's dilapidated, crumbling shack is built of dried bamboos; tree branches and the see through walls are haphazardly embalmed in mud. The thatch for the roof is a combination of leaves, wood, jute sacks and a lot of torn polythene sheets. There is not a single piece of furniture in the house and the homestead was given to the couple in inheritance by Sita's father. In the entire village theirs is the only house that doesn't have an electricity connection and the family survives on kerosene lamps for lighting and firewood for cooking meals. Drinking water is fetched by the daughters from the Panchayat well which is some distance away and defecation like the rest of the village is in the open fields.

All that Ramesh manages to grow in the 2 acres of land that his father-in-law has given him is for the subsistence of the family and if he were to sell his entire single cropped produce, he would have earned only Rs.5000/- per annum. He works as hired labour in the monsoons in other people's fields at a wage of Rs.100 to Rs.150 per day and is almost jobless for the rest of the year. To supplement his family's food needs, Ramesh has to buy rice and other basic necessities from the open market because he does not have a ration card. He had one ten years ago, which he lost and has never re-applied again citing that he is illiterate and has no money to go to Silvassa to the Department to apply and none of the office functionaries have ever tried to help him in this matter. It was observed that even the other villagers did not go out of their way to help him. Ramesh manages to borrow Rs.50 to Rs.100 per month from friends and neighbours to meet daily house hold expenses but cannot afford to borrow huge some because nobody believes he has the ability to payback, which is a true apprehension by itself.

In the name of livestock the family has a cow that gives just enough milk to feed the baby at home because Sita does not lactate well due to malnutrition. However, Sita has got herself and her baby immunised for all vaccines because there is a health sub centre in the village and all facilities are provided free there. But for major illnesses the family has to go to Silvassa, which is about 17 kilometres away and spend at least 3 to 4 thousand rupees per annum in transportation and other expenses to meet health care needs. The family also has 7 goats, which belong to someone else and Ramesh gets paid a paltry amount to take care of these goats. His elder daughter is the one who goes to herd these goats in the nearby forest and in turn misses school which is ironically just besides their little shack.

The basic cause of poverty in Ramesh's case is his landlessness. Since Morkhal's is cent per cent an agricultural economy, land is the source of income and livelihood. Given his circumstance in life, Ramesh lives on borrowed land from his in-laws because his social position is that of a "ghar jamai", which is supposed to be derogatory in the Indian context.

Secondly, Ramesh is unskilled and that takes away his ability to vie for different kinds of job. He can work only as a field labourer and that too only when work is available. Therefore this seasonal unemployment eats into his chances of earning income which pushes him further into the poverty cycle.

The family has just one or two meals in a day, which mostly consists of Indian breads made of rice or ragi and black gram. Vegetables are eaten as and when available and eggs and meat on very rare occasions. Any kind of snacks and fruits are out of the question except for some kinds of berries which are found in the village. In the monsoons, the couple spend their entire day in the fields or as hired labour in others' fields. In the non-monsoon seasons, Ramesh goes out to find some work as hired labour for meagre wages and comes back only in the evening mostly in a drunken state.

Ramesh and his family do not enjoy any benefits from any kind of government programmes or policies. He does not have even a ration card which in turn proscribes him from being enrolled in many other government programmes. However, he does have an election identity card and he acknowledged that he had voted in the last parliamentary elections for the candidate who gave him Rs.200 for his vote. And he will do the same in the next elections.

The family doesn't have any ability to withstand any adverse circumstance that may befall them be it social or economic. Their social standing is at the rock bottom of society and there are no support systems. Even their own village men shy away from giving them credit of any kind. On being asked what he would do if a major illness was to befall on any one of his family members, Ramesh just shrugged his shoulders with a sigh.

CASE-STUDY 10 : **Harjeet and the Practice of Primitive Agriculture**

Parth Gupta, IAS (P) AGMUT 2013, Kaimbwala, Chandigarh

Sukhwinder is a seven year old girl who seems to be underweight and malnourished. Youngest of the four children of her parents, she goes to a primary school and is obtaining the benefits of mid day meal scheme. This is the nuclear family of six persons living in the village of Kaimbwala, in the planned city of Chandigarh. The income of family is based solely upon agriculture, which is subsistence and primitive. The analysis of land records shows how the ancestral land is distributed and hence resulted into fragmented land holdings.

The morning over here starts with Sukhwinder helping her mother in household work before going to school. Studying in the school has become mere a formality as the motive of going there is to eat whatever is served as the mid day meal which can only but rarely meet the calorific requirements. Hardly there is time to read after coming back and the girl involves herself in the household activities.



Long walk to fetch pots of drinking water

She rarely gets the time to interact with the children of the age group. Father, Harjeet works for entire day in the field and grows some wheat as the rabi crop. The fodder is grown on the boundary and in absence of livestock at home; it is sold for

meager gain in the market. Harjeet's mother lives with the younger brother of Harjeet, whose condition is better than the family in focus as the main source of income is from tertiary sector of economy, i.e., the truck driving. Interaction with the mother was informative and it is interesting to know the history of agriculture in the lineage. Sometimes in the past the size of the land was large. The members of the family lived together and the working in the field was the matter of cooperation and mutual comforts. In the course of time, due to family disputes and the other reasons the land got fragmented.

There happened to be segregation of land as the intervening plots are sold. The small land holding deterred the various modes of intensive cropping like the mixed farming, sequential farming and agro forestry, and the entire farming pattern got transformed into subsistence and thus the deterioration in the condition of these nuclear slots.

Harjeet uses the instrument like harrow and sickle. To grow the rabi crop of wheat he has to work from September to February. Every time he has to arrange ox to row the field. The irrigation is by the mode of wide flooding and is a larger compromise with the water used efficiency. Harjeet does not have money to nourish the crop with better NPK fertilizers and the result is reflected in final productivity in this small piece of land. Nearby tube well installed by the government which is the only source of water to irrigate the field, is in a bad shape. The pesticides are rarely used as they are against the economy of scale.

Parvinder is Harjeet's wife and takes care of his four children. The house is in shambles and at times she has to arrange for mud and cow dung to fill up the cracks in the pucca house. There is acute lack of personal space and a small television is the only source of entertainment in the house. She rarely goes to social gatherings and other functions and her life revolves mainly around her four children. Her 16 year old son works in a road side dhaba and again the income is meager. It consumes his entire day and he rarely gets time to talk to his sister, Sukhwinder.

Sukhwinder is like many girls in the many villages across India, who dreams to live the affluent life under the loving care of parents, but such occasions are rare in their lives. They go to schools to get the free mid day meal, engage themselves in domestic work, and play with the group of similar age.

The size of land holdings, their fragmentation and segregation has led to the availability of meager shares possessed by each family

Primitive irrigation, lack of fund for pesticides and fertilizers, no farm mechanization, lack of intensive cropping, lack of cooperative farming, agriculture credit, supply of the seeds of better qualities, lack of agriculture extension and unscientific farming practices are some of the reasons that agriculture has not yet been a successful income source for the family.

There seems to be lack of new avenues for employment in the region as well due to which the family couldn't take up any new source of income.

The importance of education is also undermined among the poor families, which is

evident in that the children start working at a young age. This is another reason that the family keeps stuck in the cycle of poverty, as most of the children do not have access to proper and quality education.

The problems may appear straightforward but the solutions to it will need the integration of various systems and approaches. Such households are rare in the planned city of Chandigarh, but their appearance is sporadic in certain few localities. It is only after the above-mentioned issues are addressed and new opportunities for employment are created can such households come out of the vicious cycle of poverty.

CASE-STUDY 11 :

Satto Malik the Manual Labour

Sunil Kumar Yadav, IAS (P) 2012, Bihar

People of *Dome* caste are traditionally very poor and are mostly daily wage labourers or indulge in small occupation like making bamboo baskets. People of *Dome* caste are known with surname of *Malik* in the village. We have failed as member of society in our endeavor to provide conditions of decent living to all the members of the society.



The family consisted of 5 members-

Name	Age (Years)	Relation	Education	Occupation
Satto Malik	52	Self	Illiterate	Wage Labour
Radha Devi	47	Wife	Illiterate	Wage Labour
Virendar Malik	23	Son	Illiterate	Wage Labour
Veenita Devi	20	Daughter-in-law	Illiterate	Wage Labour
Surrendar Malik	15	Son	Illiterate	Wage Labour
Sanjula Devi	13	Daughter-in-law	Illiterate	Wage Labour
Arti Kumari	11	Grand-daughter	Studying in Govt. School	Student/ Wage Labour
Kajal Kumari	08	Grand-daughter	Studying in Govt. School	Student/ Wage Labour

Satto Malik is the head of the family. As the family has no land to cultivate therefore the family survives on manual labour and making bamboo baskets. They have been resident of village for the last many generations.



House of Satto Malik

The family does not own any land. They live in a house with a thatched roof. They do not have a toilet in their house. Satto Malik has two sons who are married; they also live in one more hut which is near the hut of Satto Malik. The family neither has a toilet in their homes nor electricity. Drinking water and water for domestic use is procured from a nearby hand-pump which is 100 meters away from the house. The main source of fuel used for cooking is wood. All the members of the family work as daily wage labourers and also supplement their income by making bamboo baskets which they sell in the local market. Normally male members of the family go out and work as agricultural labour or at a local brick kiln, females and children of the family make bamboo baskets and children also go and attend classes in a nearby Govt. primary school. The family does not have any livestock. They are registered as a BPL family and get their ration from the fair priced shop. They do not have a bank account and in spite of having BPL status they could not get benefits under Indira Awas Yojana (IAY). There is a lot of corruption in the identification of beneficiaries for IAY and the allocation of IAY benefits.

All the members of Satto Malik perform unskilled work and are illiterate.

The family is landless. The family is large and they have to support the family with earnings from manual work. No livestock rearing. No ancestral property. The family has no savings as whatever they earn is spent on their subsistence. Therefore they are unable to create assets.

Corruption: In my opinion, corruption involved in the administration is also responsible to a large extent for the persistent poverty of the family. The family is identified as BPL but they have not been provided with benefits under IAY, food grains under BPL card are not sufficient to feed the entire family, so they have to

buy grains from market which is expensive. Though many members have got job cards made under MNREGA but regular work is not being provided. Even the hand-pump is located more than 100 meters from their house on which they are dependent for drinking water and water for domestic use.



Midday meal

Children of the family go to school and get Mid Day Meal there, MDM and Anganwadi is working properly and thus very important for providing partial nutrient for the poor children of the village.



Primary School



The day to day life of a poor person in the village

Satto Malik usually goes for the manual labour and earns in the range of Rs 100 - Rs 180 per day depending on the number of working hours. If he gets work under MGNRES, he gets Rs 162 per day, but many times payment of wage is not regular. In some of the days, he goes to the neighboring village for brick kilning. As far as his wife, Radha Devi and two daughter-in-laws are concerned, apart from doing household work, in the harvesting season they work in the field and also make

baskets from bamboo as well. His two granddaughters, Arti and Kajal usually go to school primary school in the village and also help the family in doing household chores and also assist family in making bamboo baskets and also help in selling them at the local market.

As being unskilled laborer, Satto Malik is mostly dependent on unskilled labour for his livelihood. Whenever works under the MGNRES are undertaken, Satto Malik is able to get wage employment. On other days; he has to search for employment within or outside the village. Sometimes he goes for brick kiln in Bardepur village or Kalikapur village when doesn't work in his own village. During the harvesting season; he gets employment in other's field as agricultural laborer. The average family income is Rs 4500 per month. The seasons for peak employment are:-

Sowing season of Paddy i.e. Kharif crop.

Harvesting season of Paddy

Harvesting season of Wheat i.e. Rabi crop

MGNREGS works in the summer and winter season.

Plantation during the rainy season (under MGNREGS)

Benefits under Government Schemes:

Under MGNREGS, Satto Malik and his sons get Rs 162 per day. Though under the MGNREGS, 100 days employment is guaranteed, but Ram Kishore got only 21 days employment in the year 2012 and in the year 2013, so far he did not get any work under MGNRES. This village is suffering from delayed payment under MNREGA, when I enquired about the delay I was not given any satisfactory by the Mukhiya and Panchayat Rozgar Sevak (PRS). BPL Ration card in which he gets 35 kgs of grains pm (wheat and rice). Delivery of both the granddaughters were institutional deliveries.

Family's ability to withstand shocks and adverse circumstances is very weak, as the amount of their earnings is so meager that there are not savings and hardly any asset creation. Illiteracy, lack of skills and no safety net hampers the ability of the family to create assets and diversify their source of income.

As the family does not have any saving of their own, they are fully dependent on the government schemes/ wage labour for the employment and livelihood pertaining to their day to day needs and thus on the occasion of any incident of disease or poor health, the family is susceptible to fall in debt trap as Govt. hospitals (PHC) are ill-equipped to provide complete treatment and medicines. In the village out of pocket expenditure is very high and if anybody falls in the family, it destroys the financial viability of the family for that period and it may fall into debt trap.

Dome people traditionally very poor, illiterate, unskilled and without any land holdings, as their number is also not very much so in democracy which is guided my number game, these people are not able to benefit from the Govt. Schemes. Intervention at micro level is required to provide benefits to these people and enable them to come out of poverty trap.

**GOOD GOVERNANCE
AND
CHALLENGES**

Dr. Vivek K. Agnihotri *

Phase V Syndicate Papers:

Officers participating in Phase V, 2015 MCTP for the IAS organized by the Lal Bahadur Shastri National Academy of Administration at Mussoorie, were assigned topics related to good governance and were, to review all previous reports submitted to Govt. from time to time on the topic. The Reports prepared have been slightly edited & included in this issue of Administrator. There are ten articles based on the Reports of ten Syndicate Groups constituted during the 9th Round (October-November 2015) of Phase V.

Over the years, there has been a sea change in the system of training of the IAS officers on induction as well as during their career. Systematic and structured training, comprising Professional Course Phase I, District Training and Professional Course Phase II, used to be delivered only during the first two years of service. With the introduction of three more Phases of mandatory MCTP, namely Phases III to V, it now extends up to 28 years.

MCTP for the IAS officer were conceptualized on the basis of recommendations of various committees on civil service reforms. The programmes were made mandatory by amending IAS Pay Rules in 2007: Completion of various phases was made a pre-requisite for further increments/promotions. Accordingly, Department of Personnel and Training (DoPT) implemented a three-phased midcareer training architecture as follows:

Phase III (at 7-9 years of service);

Phase IV (at 14-16 years of service); and

Phase V (at 26-28 years of service).

The present duration of each of the three phases of the MCTP is as under:

- Phase III (8 weeks);
- Phase IV (8 weeks); and
- Phase V (5 weeks).

The programmes commenced in 2007 with the objective of imparting structured training to officers at key inflection points in their service career. In the first cycle

* IAS (retired), former Secretary-General, Rajya Sabha.

from 2007-09, the programme was directly implemented by DoPT, on an outsourcing basis, through selected national/international partner institutions. From 2010, the responsibility for the design and delivery of all the phases of the MCTP was entrusted to LBSNAA. By the end of 2015, nine rounds of Phase III and V and ten rounds of Phase IV have been completed.

The main objective of the Phase V MCTP is to support officers to become effective and responsive policy formulators with an inter-sectoral perspective. The programme aims to build strategic management and leadership skills of the participants and also enhance their competence to address the political economy. This is done through:

- consolidating and drawing lessons from their own past programme and project experiences;
- deepening understanding of global, national and state level policy environments; and
- providing detailed sector-specific knowledge, concepts and tools, as well as policy perspectives.

By the end of the course, the participants are expected to:

- Develop a wider global and national perspective in order to formulate strategies to meet future challenges;
- Understand the importance of inter-sectoral policy design and implementation;
- Provide effective leadership in his /her work environment; and
- Reinforce service networks essential for policy formulation and implementation.

The ultimate objective of MCTP is, no doubt, to promote Good Governance and, in turn, improve the delivery of public services.

Good Governance

Good governance is not a luxury. As the experience, the world over, shows it is sine qua non for sustainable development. It is also the key to success of any economic reforms programme. In a rapidly changing world, the State is under pressure to become more effective, but it is not yet adapting swiftly enough to keep pace. The reasons for demands for better governance are many and varied. In some cases these are resource or budget constraints requiring reduction in costs or 'doing more with less'. In most countries, again, the public is becoming more demanding and wants greater say in the business of governance. It has also been realized that effective government enhances overall economic performance. New technologies and changes in management theory too have opened up possibilities for better governance as never before.

The quest for a more effective State, even in the established industrial countries, suggests that returns on incremental improvement are high. Over time, even the smaller increases in the capability of the State have shown to make a vast difference to the quality of people's lives, not least because reforms tend to produce their own

virtuous cycle. The crucial challenge facing governments is to take those steps, both small and large, towards better government.

The importance of good governance in order to cope with the imperatives of globalization and capitalize on its opportunities cannot be over-emphasized. Some of the universally accepted pillars of good governance are accountability, responsiveness, transparency, predictability, participation, non-discrimination, non-exclusion, ethical behaviour and public interest. Among these, the critical success factors for smooth and seamless integration through globalization are, of course, transparency, predictability, non-discrimination and ethical behaviour. In order to facilitate good governance the need for establishing a mechanism for policy co-ordination, setting up of appropriate regulatory systems, managing government resources efficiently, de-centralization, providing a forum for grievance redress, and institutionalizing alternative systems of service provision have been highlighted. Above all, governments have to focus on four Es, namely Economy, Efficiency, Effectiveness and Equity.

The international experience with promoting good governance underlines the need for getting the fundamentals right before going in for sophisticated reforms. It also illustrates that there is always a gap between thought and action and hence the need to focus on successful implementation of policies. There is no time to lose and governments have, therefore, to learn quickly. However, at the same time, there are no quick-fixes. Putting the right people in right places along with a visionary and inspired leadership is the key to success. There is a lot to be learnt from international best practices; however, they have to be adapted to local conditions and not imitated blindly.

The Indian experience with good governance has been relatively more successful with de-centralization, review of old and obsolete laws, introduction of e-governance, promotion of Citizen's Charters and introduction of right to information. However, initiatives for rightsizing government machinery, controlling corruption and introducing fiscal discipline have not met with similar success.

The whole context of globalization and governance is fraught with several paradoxes, such as globalization vs. de-centralization, public vs. private sector, efficiency vs. control, focus on results vs. focus on processes, public administration vs. public management (equity vs. efficiency), radical vs. incremental change and human rights vs. environment. Even though these paradoxes are more apparent than real or inherent, there is need to tread carefully. Against this background, the litmus test for the success of governance is the Gandhi's Talisman: "Whenever you are in doubt...recall the face of the poorest and the weakest man (woman) whom you may have seen and ask yourself, if the step you contemplate is going to be of any use to him (her). Will he (she) gain anything by it? Will it restore him (her) to a control over his (her) life and destiny?... Then you will find your doubts... melt away."

From a purely Indian perspective Good Governance consists of seven elements,

which could be described as **Seven Notes of Good Governance** (*surajya ke sapta swar*) as follows:

- *Soochana* (Information / Transparency);
- *Suvidha* (Convenience / Choice);
- *Suraksha* (L & O / Environment Protection / Human Rights);
- *Seva* (Customer Focus / Citizen Centricity);
- *Sanskara* (Good Work Culture);
- *Sarva-dharma-sambhav* (Secularism / Inclusiveness / Tolerance); and
- *Sammana* (Mutual Respect / Equity).

In addition, the clarion call given by the Prime Minister for 'Excellent India' (*Shreshtha Bharat*) must, again, translate itself into attaining excellence in five fields, namely:

- Self-reliance (*swavalamban*);
- Education / Skill Development (*sushiksha*);
- Health and Cleanliness (*swasthya & swachchhata*);
- Information and Communication Technologies (*sampark*); and
- Ease of Doing Business (*sugamyata*).

Syndicate Reports of the 9th Round of Phase V

All the ten syndicate reports focus on various facets of good governance from the point of view of the Indian Administrative Service (IAS) and how it could be made a more effective and efficient instrument of its delivery. The reports underscore the following concerns:

- A roadmap for making the civil services ethical, responsive and transparent.
- A differentiated scheme for the civil services examination.
- Comprehensive and liberal human resource development policy framework for strategizing and incentivizing IAS officers' intellectual growth in their generalist role, while, at the same time, providing them opportunities for acquiring domain knowledge in their area of specialization or interest.
- Need for putting a premium on intellectual growth of civil servants and on upgrading their domain knowledge in the performance of their generalist role.
- Ways and means to make the performance appraisal system a tool of developing the officer for higher responsibilities and, in particular, to enable him / her to deal successfully with contemporary challenges.
- Critical assessment of the current system of empanelment for promotions to the Super-time Scale and beyond in the Government of India and to suggest an alternative model.

- Weighing the pros and cons of lateral entry of private players into higher echelons of Government and advocating a cautious two-way approach.
- After arguing for a FAST (flatter, agile, streamlined and tech-enabled) Government in the context of the felt need for its reorganization, the 'minimum government, maximum governance' model propounded by the Prime Minister of India has been recommended.
- Government can learn a lot from procedures and practices of the private sector in order to improve efficiency and ensure effective public service delivery.
- After listing some of the reform measures taken in the past, a set of administrative changes have been recommended in order to protect the civil servants from unlawful pressures which flow from various quarters and have multifarious manifestations.

Emerging Issues

Some of the emerging challenges highlighted in the papers mentioned above need to be addressed on an urgent basis. It appears that the key to improving governance lies in putting in place a system of lifelong learning, a mentoring and a counseling system and a performance monitoring and evaluation system.

Lifelong Learning

An interactive web-enabled knowledge management system is the need of the day to take care of professional requirements of the IAS officers. The following assumptions underpin this suggestion:

- Learning is a life-long process; and
- All training needs of a set of well-educated and highly competitive officers do not have to be met through direct (face-to-face) interaction.

Thus the officers could be provided access to training resources through distance learning packages in a cafeteria mode. This objective can be achieved through creation and maintenance of a web-enabled facility. Training packages may be developed in respect of topics considered important from the point of view of professional discharge of functions by the officers with varying years of experience. An inventory of best practices, with details of innovators, practitioners, documentation etc., may be provided. These may be posted on a portal with interactive features and linkages with websites of LBSNAA and the State ATIs. Topic-wise packages of training software (including custom-made material, articles, recommended books and journals etc.), list of resource persons, recommended websites, question bank etc. may be posted on the portal.

Complete details of designated advisor-cum-mentors, including their areas of specialisation (with reference to the selected topics), may also be provided for online learning, advice and guidance. Continuous updating and maintenance of data posted on the web will be of the essence. This could be achieved by providing requisite domain and technical assistance to the advisor-cum-mentors, who may be given the responsibility for this job. A separate unit in the LBSNAA / Training Division of DoPT should coordinate this activity.

Mentoring/Counselling System

On account of limitations of time and resources, it is not possible for either the LBSNAA or the District Administration and the ATIs to equip the Officer for all types of assignments and situations that they are likely to face during their entire career. It would be, therefore, advisable to put in place an IT-enabled distance learning system along with an advisory system comprising mentors / counsellors in order to inculcate professional confidence among the officers.

Some time ago, the law faculty of LBSNAA used to have an informal online counselling system, whereby OTs as well young officers in the field used to call up certain members of the law faculty in order to take their advice on practical problems they were facing on the job. It is suggested that in various key areas, including those covered during induction as well as mid-career training programmes, along with other topics, which are not so covered, a panel of mentors / counsellors / resource persons should be notified for being accessed by the officer when they are in need of advice. These mentors may be nominated through a rigorous selection process to manage the identified distance learning packages and provide central as well as state specific advice. They may be paid an annual retainerhip fee plus hourly charges on the basis of the advice / counselling rendered, assignments evaluated and other pre-identified tasks performed.

During the period of training, the LBSNAA has a system of State Counsellors (the faculty of the Academy) for the Officer Trainees. When the trainees are at the LBSNAA, during Phase I and Phase II, regular sessions are scheduled in the time table for formal interaction between the Officer Trainees and their State Counsellors. During District Training, the State Counsellors keep in touch with their Officer Trainees through correspondence as well as location visit to training districts. In addition, the State Governments are also advised to designate an officer to function as the Counsellor during the District Training. However, the need for a counsellor / mentor to generally advise the trainees / officers during their career does necessarily disappear at the end of the training period. It is, therefore, suggested that a system of appointing / designating officers of the State to function as a counsellors for the IAS officers, with various periods of service (say, 2 to 7 years, 8 to 13 years and 14 to 20 years), may also be put in place.

Performance Monitoring and Evaluation System (PMES)

Following the recommendations of the Second Administrative Reforms Commission (Thirteenth Report) and the subsequent announcement made in the President's address to both the Houses of the Parliament on June 4, 2009, Prime Minister approved the outline of the Performance Monitoring and Evaluation System (PMES) for Government Departments on September 11, 2009. The essence of PMES is outlined in the following paragraphs.

At the beginning of each financial year, with the approval of the Minister concerned, each Department prepares a Results-Framework Document (RFD) consisting of the priorities set out by the Ministry concerned, agenda as spelt out in the manifesto if any, President's Address, announcements / agenda as spelt out by

the Government from time to time. The Minister In-charge decides the *inter se* priority among the departmental objectives.

After six months, the achievements of each Ministry / Department are reviewed by a Committee on Government Performance and the goals reset, taking into account the priorities at that point of time. This enables factoring in unforeseen circumstances such as drought conditions, natural calamities or epidemics.

At the end of the year, all Ministries / Departments review and prepare a report listing the achievements of their Ministry / Department against the agreed results in the prescribed format. This report is expected to be finalized by the 1st of May each year.

The RFD document consists of six sections as listed below:

Section 1: Ministry's Vision, Mission, Objectives and Functions.

Section 2: *Inter se* priorities among key objectives, success indicators and targets.

Section 3: Trend values of the success indicators.

Section 4: Description and definition of success indicators and proposed measurement methodology.

Section 5: Specific performance requirements from other departments that are critical for delivering agreed results.

Section 6: Outcome/Impact of activities of department/ministry.

This PMES was effectively implemented between 2009 and 2014. But since the change in Government at the centre in 2014, it has fallen into disuse. However, the need for having in place a performance monitoring and evaluation system for government departments and their functionaries cannot be gainsaid. If the earlier system has not been found satisfactory a new and more effective system should be put in place. This would not only be in consonance with the principles of good governance, but would also provide a robust, valid and objective system for performance-based grant of increments, promotions and incentives to civil servants. The Government of Delhi has tentatively introduced such a system.

Managing Service Quality in Government

The concept of Total Quality Management (TQM) is as relevant in the context of government organisations as in context of private organisations. At a first glance, one might believe that the relevance might be restricted to Public Sector Undertakings (PSUs) and even among them to PSUs engaged in manufacturing activities. However, this is not so. Quality, if defined properly, can be as, if not more, relevant in all government organisations as in the private sector.

When talking about a total quality initiative in the public sector, particularly in mainstream government organisations, such as the central or state secretariats, directorates etc., certain home-truths have to be kept in mind:

- every one is *always* trying to do his / her best, but there is also *always* scope for improvement;

- public expectations *always* and *everywhere* exceed public service delivery; and
- if there is *no problem*, do not look for a quality solution.

In addition, there are certain basic assumptions relating to introduction of TQM in government:

- that service quality principles are applicable to good governance too;
- that Citizen's Charter could be the starting point of a service quality initiative in government; and
- that a quality state is also an e-state.

It is also to be borne in mind that TQM is not the only technology for bringing about improvements in the quality of service, including delivery of public services. Service improvement technologies include process simplification, e.g. cutting down non-value-adding activities, and benchmarking of best practices based on an assessment of internal processes and comparing them with performance of other service providers in order to identify and close the gaps. The service providers could be other units / departments in the same organization, other organizations in the same service sector or totally different institutions/industries. ISO 9001 and its variants also constitute an approach to service improvement through documentation of the processes and providing evidence that they are being followed. Business Process Re-engineering (BPR) is about fundamental change in the way the work is done to achieve radical performance improvement. Then there is Total Quality Management, mentioned above, which propagates holistic but incremental and continuous improvement.

The quality initiative has to be demand-driven. First among the drivers of service quality is leadership, without which any quality initiative is a non-starter. As mentioned in passing earlier, budget and resource pressures are increasingly becoming the prime movers of good governance or service quality in government. As democracies mature, citizens' demands for improvement in the delivery of services provided by the government, along with their desire to have a say in how the services are designed and delivered, have come to the fore. Against the backdrop of structural adjustment programmes implemented by several governments, it was realized that efficiency in public service delivery contributes to better overall economic performance. New technologies, such as Information and Communication Technologies (ICT), are opening up avenues for better and speedy delivery of public service along with ensuring transparency and accountability at the same time. 'Managerialism' or application of ideas from management disciplines (e.g. TQM, NPM etc.) in public administration is also driving the quality initiative in government.

Further, for the quality initiative to succeed, a quality service culture has to be developed in the organization. This requires cross-functional management (team work), and management of the customer-supplier chain ('next process is your customer'). It is about empowerment of employees through decentralization and delegation of responsibility as well as authority in order to create process

ownership among them to respond to customer needs and expectations. For this purpose, they have to be trusted and capacities have to be built in them. Customer and employee feedbacks have to be obtained for monitoring the system.

The service quality components in governance are accessibility (easy availability of services, such as education, health, housing, public distribution system etc.), timeliness, accuracy, responsiveness (e.g. to complaints), courtesy (being treated as customers and not as beneficiaries or applicants or supplicants), listening (to what they have to say), appropriateness (providing suitable choices), and, above all, legality (corruption free service).

As in the private sector, the implementation of TQM in government has to begin by first identifying the reasons, if any, for bringing about change. This exercise may take the form of a brainstorming session with the key functionaries and / or a survey of employees and similar instruments to identify the problems and issues.

If there are cogent reasons to bring about change and improvements in the functioning of the organisation, in the initial stages, attempts should be made to create awareness through workshops and seminars. These activities not only help in creating awareness about quality issues but also open up communication channels. One of the effective ways of doing this is to organise a two-three days' 'Visioning Workshop', with the assistance of professional facilitators at a retreat, for a selected group of employees belonging to different strata in the organisation. Such a Visioning Workshop normally facilitates identification of the core business of the organisation and the issues that need to be addressed in the short run. The first draft of a Vision Statement for the organisation also gets developed during such a Workshop.

Improvement Teams / Task Forces are thereafter constituted to work on the issues identified during the Visioning Workshop. These teams have to have a very specific focus and a life of three to six months to complete the tasks on hand. It is important to appoint only a few Improvement Teams / Task Forces, say four to six (depending on the size of the organisation and other priorities of business), to work at a given point of time. If the issues identified for improvement are large in number, they could be prioritised so that at any given point of time only a limited number of Task Forces are operational. Setting up of Task Forces does not automatically lead to any visible outcomes. In view of the pressures of day-to-day work, the chances of the Task Forces not being able to focus attention on their agenda are there. Having fixed day(s) and time for the meeting of the Task Forces could be of help in this regard.

In the Indian governmental context, it may be advisable to appoint one Task Force to work on the allocation of work in the organisation. It is common experience that in most cases job charts and job descriptions are either not available or have not been updated for a long time. The findings of such a Task Force could help even out the distribution of work among the employees. It could also serve as a precursor to the development of the Vision Statement. The Task Force could also guide the preparation of a history of the organisation, if one is not already available. This

serves the purpose of providing an institutional memory for government organisations where postings and transfers are quite frequent at all levels.

It is also important to track the Improvement Teams / Task Forces so that they complete their work within the prescribed time frame. For this purpose, a TQM Planning Team / Governing Council should be constituted. The members of the Planning Team / Governing Council may be drawn from among the employees who attended the Visioning Workshop as well as those working with the Improvement Team / Task Forces. It should invariably be chaired by the head of the organisation. However, the role of the leadership is not confined to head of the organisation only; it requires concerted efforts from the entire Planning Team to ensure the success of the quality initiative. The members of the Planning Team need to acquire facilitation and counselling skills for the purpose.

On account of the compartmentalised and hierarchical structure of most government departments, there is often inadequate communication (horizontal as well as vertical) across the organisation. Unless this communication barrier is broken, service quality culture cannot be inculcated. This problem can be addressed through organising open house sessions with employees on issues of mutual interest, setting up a bulletin board, starting an in-house newsletter etc. The newsletter may be bilingual or in a language which is understood by the majority of the employees. The employees should be encouraged to contribute articles, poems etc. to the newsletter. Their hidden talents could be highlighted in a special column with photographs. This helps to eliminate fear and promotes team spirit.

Training is a very important component of any quality initiative. In order that the improvements are continuous, the training efforts have to be sustained. The training initiative has to address work-related training needs of the employees and, in addition, develop their competencies in application of TQM tools and techniques. Certain other broad-based issues relating to team work, facilitation, counselling etc. may also be addressed through a training / awareness programme. It is advisable to utilise in-house resources, at least in the beginning, for organising training programmes. This approach is non-threatening and also builds confidence in and creates favourable opinion for the TQM initiative among the employees. There is, on the other hand, real danger of knowledge and skills acquired through training in TQM tools and techniques remaining unutilised. In order to ensure that this does not happen, the teams and task forces should be encouraged to use them in their day-to-day working.

Quality initiatives in government need not necessarily begin with a Visioning Workshop. An equally focused beginning could be made with the formulation and implementation of the Citizen's Charter. Similarly, documentation and standardisation with a view to obtaining ISO certification could be another starting point. Daily management (of 5 'S' variety or a formal *kaizen* initiative) could also be an opening gambit. In order, however, for the daily management or *kaizen* to be inspiring and sustained, a system of employee recognition and reward too has to be put in place. It is important to orchestrate the activities of the four initiatives relating to Citizen's Charter, daily management, *kaizen* and employee recognition

and rewards in such a manner that they are implemented more or less simultaneously. Citizen's Charter, which has several TQM elements (meeting customer / citizen requirements, conformance to standards, stakeholder involvement, continuous improvement etc.), could provide the benchmark for the *kaizen* and daily management initiatives. The criteria for employee recognition and rewards could then be linked to their performance in respect of daily management and *kaizen*. A little bit of creativity is needed for introducing a system of rewards and recognition, especially of a non-monetary nature ('non-financial currency'). Organising an annual day function to distribute certificates of merit is a good practice. Sending good performing teams for educative excursions is also recommended. A debriefing tea session by the head of the organisation with the concerned employees after successful conclusion of a project or an event and putting up *kaizen* scores and photographs of the employees of the month on the bulletin / notice board also motivate.

As mentioned earlier, documentation and standardisation, including preparation of a history of the organisation and a manual of work allocation / job description, are significant features of a quality initiative. **What cannot be documented cannot be standardised; and what cannot be standardised cannot be improved.**

An important method for providing a fillip to improvement efforts is to benchmark important processes with similar organisations. For this effort to succeed, it is important that the institution taking the initiative should document its own excellence in some areas. Benchmarking with other organisations can succeed only if there is a give and take at an equal level such that all the organisations involved in the exercise achieve tangible results in the end.

There is need to assess the improvement in processes achieved through the quality initiative. Hence measures for all key processes should be developed to assess the quality and quantity of progress. In the event of the organisation opting for developing a Citizen's Charter, applying for the Charter Mark could be the beginning of the assessment / evaluation of the quality initiative. It could be followed by certain more rigorous quality assessment procedures relating to ISO or *Sevottam* certification and TQM award. Improvements can be achieved simply by attempting to fill up the form for self-assessment and also by taking note of the reports of the assessors. Winning the award is not a necessary condition for this purpose.

It bears repetition that for any quality initiative to succeed, it has to be conceptualised, implemented and nurtured by the top management / leadership. In short, it has to be top-led. For top management, in turn, to get hooked on to it, the need for quality must be palpably felt; and this would happen only if there is a high level of discomfort with the present reality. Secondly, the people involved in the initiative must be made thoroughly conversant with the principles and practices of TQM before they embark on action planning. Without that, the solutions they generate will be of no better quality than before. Finally, the actions must impact on the citizens in a very powerful and visible manner for the quality initiative to get public support and motivate the employees further.

Bibliography and References

- Agnihotri, V. K. (2015) *Total Quality Management for Boardroom*. New Delhi: Institute of Directors.
- Agnihotri, V. K. (2014) 'Seven Notes of Good Governance', *Governance Now (in Hindi)*, January 2014.
- Agnihotri, V. K. (2006) 'Restructuring of Professional Induction Training Programme for Direct Recruits to IAS: An Alternative Model' [A Paper prepared for the RVV Ayyar Committee (*vide infra*)]. Mussoorie: LBSNAA.
- Agnihotri, V. K. (2006) 'Concept Paper for a National Institute of Best Practices in Public Governance'. New Delhi: Department of Administrative Reforms and Public Grievances.
- Agnihotri, V. K. (2004) 'Globalisation and Public Governance: The Indian Imperative', In Sanjeev Reddy, P. L. *et al*: *Democracy, Governance and Globalization: Essays in honour of Paul H. Appleby*. New Delhi: Indian Institute of Public Administration.
- Agnihotri, V. K. And Dhar, R. K. (2004) 'Governance Reforms in India: Responsible Civil Servants' View from the Inside', In Munshi, Surendra and Biju Paul Abraham: *Good Governance, Democratic Societies and Globalisation*. New Delhi: SAGE.
- Agnihotri, V. K. (2003) *Quality Management in Government: Theory and Practice*. New Delhi: Allied Publishers Private Limited.
- Agnihotri, V. K. (2001) 'Policy Letter for a Project on Capacity Building for Good Governance'. New Delhi: Department of Administrative Reforms and Public Grievances.
- Chand, Vikram K. (Ed.) (2010) *Public Service Delivery in India: Understanding the Reform Process*. New Delhi: Oxford.
- Commonwealth Secretariat ((1995) *Current Good Practices and New Developments in Public Service Management: A Profile of the Public Service of Malaysia*. London: Commonwealth Secretariat.
- Dar, RK (Ed.) (1999) *Governance and the IAS: In Search of Resilience*. New Delhi: Tata McGraw Hill.
- Government of India: *Guidelines for Results-Framework Document (RFD) 2013-2014*. New Delhi: Performance Management Division, Cabinet Secretariat.
- Government of India: *Performance Evaluation and Monitoring System for Government Departments*. New Delhi: Performance Management Division, Cabinet Secretariat. (www.performance.gov.in) Government of India: *RFD Evaluation Methodology (REM)*. New Delhi: Performance Management Division, Cabinet Secretariat.
- Government of India (2007) *Report of the Committee to Review Induction Training Syllabus (Ayyar Committee Report)*. New Delhi: Ministry of Personnel, Public Grievances and Pension.
- Government of India (1997) *Report of the Study Group on the Training of IAS officers: Impact Assessment and Strategy for the Future (Ramesh, Lahiri and Patnaik Committee Report)*. New Delhi: Ministry of Personnel, Public Grievances and Pension.
- Institute of Public Enterprises (2014) *Proceedings of Global Roundtable on Government Performance Management (11-12 December, New Delhi)*. New Delhi: Performance Management Division, Cabinet Secretariat.

-
- Kaul, Mohan (1998) *Improved Public Service Delivery*. London: Commonwealth Secretariat.
- Organisation for Economic Co-operation and Development (1996) *Responsive Government: Service Quality Initiatives*. Paris: OECD.
- Schiavo-Campo, S. and P.S.A. Sundaram (2001) *To Serve and Preserve: Improving Public Administration in a Competitive World*. Manila: Asian Development Bank.
- Second Administrative Reforms Commission (2009) *Organizational Structure of Government of India (Thirteenth Report)*. New Delhi: Department of Administrative Reforms and Public Grievances.
- Subramanyam, B.V.R. and V.K. Agnihotri (2006) 'Managing Service Quality in Government', Seminar on Quality Management in Government. New Delhi: CII, DARPG and LBSNAA.
- Trivedi, Prajapati (2011) 'Performance Measurement and Appraisal', *Lecture Series on Administrative Structure and Good Governance (February-July 2011)*. New Delhi: IC Centre for Governance.
- United Nations ((2006) *Innovations in Governance and Public Administration: Replicating What Works*. New York: Department of Economic and Social Affairs.

SYNDICATE PAPER 1

By, Mr. Abhay Tripathi; Mr. Bibhu Prasad Acharya; Mr. Durgananda Prasad Rao Koppala; Mr. Jarugumilli RamaKrishna Rao; Mr. Lalit Kumar Gupta; Mrs. Pushpa Subrahmanyam; Mr. Raghvendra Singh; Mr. Satya Murty Dharanipragada; and Dr. Wdaru Rampulla Reddy.

Political Economy of Civil Service Reform: Making Civil Services Ethical, Responsive and Transparent

Abstract

After analyzing the reports of various committees and commissions set up in India as well as international experience, this paper recommends a roadmap for making the civil services ethical, responsive and transparent.

Problem Statement

The political economy of the country today, borrowing from the famous words of Mahatma Gandhi, unfortunately, operates on the following values: "Wealth and not work or excellence, is worship; commerce without morality, religion without humanity, politics without principle". The political economy and the social milieu, under which the higher civil services function, require them to grapple with many challenges. Some of them, to name a few, are patronage politics, role of money and muscle power in electoral politics, rising aspirations, pro-active civil society and watchdogs, transition from mixed economy and quota-permit raj to liberalization, changing role from regulators to facilitators, narrow domestic walls of caste, creed, region and religion vitiating the society, new technology shifts, political debate getting shriller, women legitimately demanding their share in power and so on. Therefore, due to absence of systematic efforts in the area, resolving some of these challenges and equipping the civil servants to deal with them, especially eliminating influence of money and muscle power in electoral politics, civil services too, as a subset of the political economy, have moved away from the basic values of professionalism, anonymity, impartiality, objectivity, integrity, accountability and dedication to public service, and have come to be dominated by crony capitalism, and considerations of caste, language, region, gender identities and rent-seeking. The challenge before us, therefore, is to urgently re-orient the civil services, which is a vital instrument of nation building and development, to embrace the core principles of professionalism in public service and political neutrality.

Review of Administrative Reform Reports

Over the years, the need for reform in order to reinforce ethical values has been repeatedly acknowledged and deliberated on by high powered committees set up by the Government of India. The Santhanam Committee on Prevention of Corruption (1962) and the Hota Committee report (2004). The more recent report of the Second Administrative Reforms Commission (2009) has an entire volume on Ethics in Governance, in which it has put forth a whole range of recommendations to bring about urgent reforms. The problem is the failure of successive governments to translate these recommendations into a comprehensive, sustained and concrete action plan and rolling out the reforms to promote ethics and

responsiveness in the civil service. It is important to acknowledge, however, that providing statutory status to the Central Vigilance Commission in 2003, and the passage of the Right to Information Act, 2005 have helped promote ethical conduct and transparency in the civil service. In addition, several *ad hoc* measures have been taken at the central, state and local levels to promote responsiveness through electronic delivery of services. The enormous challenge of responding effectively to the development aspirations of half a billion youth of the country rests on the success we achieve in identifying the implementable reforms to bring about transformational change in the operations of the civil services.

International Experience

Voicing concern about the seriousness of problems and threats posed by corruption to social stability and harmony, and the resultant undermining of institutions, values of democracy and justice as well as jeopardizing sustainable development and the rule of law, UN Convention Against Corruption exhorts state parties to promote *inter alia* integrity, honesty and responsibility among its public officials, in accordance with the fundamental principles of its legal system. (Art 8 of UNCAC, 2003).

The UK has taken the initiative for value-based reform of civil services and has legislated a Code of Conduct in 1996. The merit-based civil service is to be guided by the core values of integrity (putting the obligations of public service above one's own personal interest), honesty (being truthful and open), objectivity (basing advice and decisions on rigorous analysis of evidence), and impartiality (acting solely according to the merits of the case and serving equally well governments of different political persuasions).

Starting in the 1980s, New Zealand has reinvented its public administration based on the principles of New Public Management and completely reoriented it towards 'managerialism' on the lines of the private sector to bring in a 'results focus'. It has reinforced ethics and public service values through the State Sector Act, 1988 as well as the Code of Conduct for State Services, 2007.

Australia too in its Public Service Act, 1999 and the Public Service Amendment Act, 2013 has accorded due place to codification of public service values of meritocracy, apolitical character, fairness in service delivery, and accountability to Government and the public.

The high rank occupied by New Zealand, Australia and the UK in the Corruption Perception Index, 2014 (2, 11 and 14 respectively) is attributable to the low levels of political corruption in those countries and effective enforcement of anti-corruption legislations. It is imperative, therefore, not only to enforce the legislations for anti-corruption along with preventive vigilance measures but also to address political corruption in India, if any significant headway in ensuring ethics in public administration, through the instrumentality of civil service reforms, is to be made.

Recommendations and Implementation Strategy

Based on the contextual framework outlined above and after review of various studies and reports on the subject for promoting ethical values, responsiveness

and transparency, the following action points to promote value-based ethical conduct among civil servant are recommended:

- The recommendations of the Second Administrative Reforms Commission (ARC) on *Ethics in Governance* (Fourth Report) should be expeditiously implemented. Some of the important recommendations of ARC in this regard relate to partial state funding of elections in order to reduce the scope for unlawful and unwarranted expenditure by political parties and candidates on elections; disqualification under the Representation of the People Act, 1951 of all persons facing charges related to grave and heinous offences and corruption; prescribing a Code of Conduct for Ministers and legislators to uphold the highest standards of constitutional and ethical conduct in the performance of their duties and so on. The Public Services Bill, 2007 should be legislated expeditiously.
- In order to improve the capabilities of the higher civil services to ensure ethical conduct and infuse among them the values of public service, the age of their recruitment should be lowered so that adequate resources are deployed during the intensive and comprehensive period of induction training to instill the core values of public service.
- Periodic and focused training programmes should be devised for the civil services to impart knowledge, skills and the requisite attitude in the dynamic scenarios of public administration.
- The Civil Service Boards at the Central and State levels should be empowered in order to function effectively as professional bodies responsible for postings and transfers of civil servants.
- An infallible system to protect honest civil servants, as recommended by the Second ARC, should be put in place with emphasis on *bona fide* action and *mens rea*. To achieve this objective, *inter alia*, the Whistleblowers' Protection Act, 2011 should be effectively implemented. In addition, a voluntary mechanism to provide financial and other support to honest civil servants to fight legal battles should be introduced.
- A system for imposing timely and effective punishment on corrupt officials should be put in place by expediting the process of granting permissions for taking action, which, at present, is inordinately time consuming. We note that a court decision has somewhat achieved this objective already.
- A statutory Code of Conduct should be legislated for civil servants to nurture affirmative values and a sense of pride in public service. The Code should prescribe guidelines to ensure easy accessibility of officers to the citizens, strengthen accountability mechanisms, and lay down principles for the exercise of discretion.
- All government and service delivery organizations should be encouraged to migrate to electronic delivery of services based on clear commitment of timelines and quality of service delivery to enhance responsiveness of civil servants. The draft legislations on the Right of Citizens for Time Bound Delivery of Goods and Services and Redressal of their Grievances Bill, 2011

and the Electronic Delivery of Services Bill, 2011 should be reviewed and expeditiously taken up for consideration and passage as statutes.

- To increase transparency in the functioning of civil services, while the RTI Act is a potent weapon with the citizens, a culture of proactive disclosure of information, as against the culture of secrecy, should be promoted.
- Detailed guidelines (Standard Operating Procedures) for media interface should be laid down in the Code of Conduct.
- Since the procurement of goods and services is the most pervasive domain of corruption, sector-wise Model Bid documents should be prescribed for adoption by all procurement agencies. They should be reviewed periodically. Capability of the civil servants in the area of procurement and project management should also be significantly enhanced through focused training.
- An effective system of mentoring and counseling, particularly of young officers, should be put in place in order to promote ethical, transparent and responsive behavior among the civil servants and eliminate the danger of them falling prey to inducements and indulging in undesirable conduct.
- The National Centre for Good Governance should be equipped to promote ethical, responsible and transparent governance through action research on a continuous basis. It should also be tasked with preparing clear and time-bound action plans on cross-cutting reforms in civil services. It should obtain feedback from all the stakeholders, including the civil society, on various reform initiatives. It should also develop sector-wise and department-wise 'Administrative reforms Plans', including the details of their implementation and monitoring.
- Given the fact that civil servants are prone to carrying the 'baggage' of information and skill overload, regular unlearning and repositioning sessions should be held at regular intervals under the guidance of experts and professionals.
- Emerging technologies should be leveraged to streamline delivery of public services with speed and transparency.
- Public accountability institutions should be made effective so as to institutionalize preventive vigilance.
- The appointment processes in Government and Public Sector Enterprises should be made transparent. The Department of Personnel and Training should be repositioned as Human Resource Management Centre for the higher civil services.
- A system to safeguard the anonymity of the civil servants in the discharge of their legitimate duties and to break the officer-politician nexus should be institutionalized.
- The government ministries and departments at the Centre and State levels should be ranked on transparency, responsiveness and freedom from corruption in their dealings with citizens by evolving a transparency index.
- A more transparent statutory mechanism to recover damages and confiscate illegally acquired properties should be put in place.

SYNDICATE PAPER 2

By, Mr. Bimbadhar Pradhan; Mr. Chittaranjan Kumar Khaitan; Mr. Debashish Chakrabarty; Mr. Rajesh Kumar Chaturvedi; Mr. Trilok Chanda Gupta; Mr. Rajeev, R. A.; Mr. Shree Kant Singh; Mr. Trilok Chand Gupta, and Mr. Vipul Mittra.

Recruitment to Higher Civil Services

Abstract

This paper examines the current system of recruitment to higher civil services of the Government of India and suggests a differentiated scheme for the civil services examination.

The Argument

There are a large number of issues concerning recruitment in the civil services. The major challenge lies in transforming the recruitment process relating to lower levels in the Central Government (Group B and Group C) as well as the State Civil Services, in order to make it more transparent as well as based on proper assessment of merit. However, that is too wide a subject to be covered in a report of this nature. This paper, therefore, confines itself to the UPSC Civil Services Examination for recruitment to All India and Central Services of certain categories.

The current scheme of the Civil Services Examination broadly comprises:

- (1) Civil Services (Preliminary) Examination comprising of two papers:
Paper 1 General Studies and Paper 2 CSAT (Qualifying only).
- (2) Civil Services (Main) Examination comprising of following papers:
Papers 1, 2, 3, 4 (General Studies and Ethics); Papers 5, 6 (Optional Subject); Compulsory subjects: Essay; English Language; Indian Language).
- (3) Interview (in a language as per the choice of the candidate).

The present examination system is common to all Services. The final allocation of Services is as per the rank obtained and the preference of services indicated by the candidates at the time of filling up of the form for the main examination. The candidate is supposed to indicate his choice for all services even if he is not interested in joining a particular service.

Generally speaking, the existing scheme is broadly effective in selecting good candidates. The current selection process is already inclusive on account of the existing reservation policy, language policy, and the variety of optional subjects offered in the Civil Services (Main) Examination.

Literature Survey

While reviewing the current process for recruitment to the All India Services and the higher Central Civil Services through the Civil Services Examination, Reports of the following Committees set up, from time to time, to examine the recruitment process, were taken into account:

1. Kothari Committee Report, 1978;
2. Satish Chandra Committee Report, 1989;
3. Y.K. Alagh Committee Report, 2001;
4. Khanna Committee Report, 2010; and
5. Nigavekar Committee Report, 2012.

Further, the Government of India has recently set up another Committee headed by Shri B.S. Baswan (former Director, LBSNAA) to reexamine the scheme of recruitment. Its major terms of reference are as follows:

- a) To evaluate the effectiveness of the existing scheme keeping in view various factors such as the need for inclusiveness, fair mix of candidates from different disciplines, skill-sets required and trainability of selected candidates; and
- b) To examine the Plan of the Examination and suggest suitable changes to both the Civil Services (Preliminary) Examination and the Civil Services (Main) Examination (including the interview process).

In addition to an in depth study of the reports and recommendations of various committees aforementioned, detailed discussion amongst the group members as well as informal interaction with some of the IAS trainees available on the LBSNAA campus were held.

The Road Ahead

Based on the deliberations, the following recommendations for streamlining the scheme of recruitment to the All India and the Central Civil Services are made:

1. The LBSNAA, based on its experience, is best suited to comment on the trainability of the candidates presently being recruited. However, keeping in view the high average age at entry, it could be an issue. A significant number of candidates are already in their late twenties and early thirties. Moreover, a very large number of candidates end up finally not getting selected. The time and effort spent by them in this fruitless exercise could have been better utilized by the nation, if the final career choice could be made by them at an early age. The only argument in the case of reserved categories could be the possible delay in their acquiring graduate degrees on account of late schooling etc. This is no longer valid since almost everyone acquires the graduate degree by the age of 21 years. It is, therefore, recommended that the upper Age limit of entry into the civil services of the Government of India should be reduced to 26 for all Categories. Three attempts should be allowed to General Category candidates and for all reserved categories there need be no limit on permissible attempts. The existing system of relaxations for the differently abled category could continue.
2. The civil services are generally viewed as a permanent career option. The person once selected is expected to serve till his superannuation. Hence it is very important to ensure that the selected person has the necessary skill sets

and aptitude required for the job. Hence, testing for civil service aptitude is essential. The desired profile / skill set should comprise language competence, competency in use of information technology; ability to logically analyze situations and interpret data; ability to prioritize tasks and time management; ability to learn and assimilate new knowledge and skills; ability to work in groups and promote team spirit and communication skills. The filtering for this purpose should be necessary and sufficient, instead of a low qualifying standard of 30% in CSAT, which makes the aptitude test notional.

3. There are a large number of candidates (around 1 million) who apply for the examination. However, out of this group only 50% actually appear in the examination. This puts pressure on the examination logistics since arrangements have also to be made for candidates who choose not to appear. To reduce absenteeism, it would be appropriate if an application made by the candidate counts as an attempt. He / she could be given one opportunity to withdraw his candidature after, say, about one week before the closing date. Thereafter, all applications should count as an attempt.
4. There has been a suggestion to have a Civil Services (Preliminary) Examination after the 12th Standard, as is the case, for example, in the armed forces, and engineering, medical and law streams. The idea is to catch them young. After selection, the candidates could be put through a special training program of, say, 5 years in high quality universities / training institutions. The candidates could then be finally selected through the mechanism of Civil Services (Main) Examination. This process is akin to the NDA / Sainik School programme. However, it was felt that such a dispensation would result in some sort of uniformity and homogeneity in the civil services and may breed elitism, which would not be desirable in the long run. The present diversity of qualifications and experience enriches the civil services and should continue.
5. The combined civil services examination currently selects candidates for 2 All India Services, 17 Group A services and 5 Group B services (altogether 24 different services). These services may have a common core. However, they also need specific skill sets and training, distinctive to each of these services. For example, Indian Railway Traffic Service is very different from Pondicherry Police Service in this regard.
6. There is already a system of holding a separate specialized examination, for example, for the Indian Forest Service and the Indian Economics Service. The officers selected through these two examinations too serve on various posts, which are manned by the IAS and other Group A services under the Central Staffing Scheme (CSS).
7. In the current regime of specialized and focused needs, it is strongly recommended that the civil services examination should also have a specialized and focused paper for testing the competencies and the skill sets which may be necessary for each of these services. Some of the services requiring similar skill sets could be grouped together for this purpose. The following groupings of services could be considered:

S. No.	Services	Possible Subjects/Areas for Special Skill Paper
1	Indian Administrative Service; Delhi, Andaman & Nicobar Islands, Lakshadweep, Daman & Diu and Dadra & Nagar Haveli Civil Service; Pondicherry Civil Service and Central Secretariat Services etc	Public Administration, Public Finance, Human Resource Management, Developmental Economics, Managing Conflict, Public Procurement, Land management etc.
2	Indian Foreign Service; and Indian Trade Service	International Relations, Political Science, International trade, World History, Geography etc.
3	Indian Police Service; Delhi, Andaman & Nicobar Islands, Lakshadweep, Daman & Diu and Dadra & Nagar Haveli Police Service; Pondicherry Police Service	IPC & Cr. P.C., International Law, Human Resource Management, Conflict Management, Public Procurement etc.
4	Income Tax; Customs and Central Excise; Audit and Accounts; Indian Defence Accounts Service; Indian Railway Accounts Service; Indian Trade Service, and other Account services-Both-group A and B	Audit and Accountancy, Commerce, Company Law, International Trade, Global Financial Services etc.
5	Services having focus on Personnel management and HR, such as Indian Postal Service, Indian Railway Personnel Services, Armed Forces Headquarters Civil Service (Section Officer's Grade) etc.	National and International Labour Laws, Human Resource Management, Skill Development, etc.

A candidate wishing to be considered for any of these services should be compulsorily made to appear for the concerned optional subjects. Separate merit lists for each of these services / group of services could be prepared after combining the marks obtained in the common subjects as well as specialized subjects.

8. Instead of holding interviews in multiple languages, only English or Hindi medium should suffice for purposes of serving in the Government of India. Services of interpreter need not be provided to facilitate the interview process. The Candidates should write a 'Statement of Purpose' (SoP) essay, which should be made a part of the interview process. The Interview Board should be provided the SoP along with the CV of the candidate at the time of the interview.

SYNDICATE PAPER 3

By, Shri Alok Vardhan Chaturvedi; Shri Amit Jha; Ms. Jayashree Mukherjee; Shri Lokesh Dutt Jha; Shri Rakesh Kumar Gupta; Ms. Saleena Singh; Shri Sanjeev Kumar Sinha; Ms. Satbir Bedi; Ms. Shashi Gulati; and Shri Tripurari Sharan.

Capacity Building of IAS Officers-Incentivizing Intellectual Growth

Abstract

This paper makes out a case for a comprehensive and liberal human resource development policy framework for strategizing and incentivizing IAS officers' intellectual growth in their generalist role; while, at the same time, providing them opportunities for acquiring domain knowledge in their area of specialization or interest.

Problem Statement

In the current globalized world, the members of the Indian Administrative Service need to work continuously to increase their domain knowledge, enhance their competencies and develop strategic thinking capabilities in order to meet the emerging challenges effectively and demonstrate their relevance in the new order. A highly interconnected global economy requires officers armed with analytical capabilities, such as basic statistical and reasoning skills, to critically examine a problem or a situation, and to answer comprehensively 'what', 'why', 'who', and 'how' of the issue at hand.

It is for this reason that intellectual growth through regular training and orientation should become an integral part of the career plan of a civil servant. This necessitates a continuous and comprehensive capacity building of the officers, institutionally as well as individually, through academic inputs, interactions with experts and professional in the field and exposure to the best management practices.

A case, therefore, exists for a comprehensive and liberal human resource development policy framework for strategizing IAS officers' intellectual growth in their generalist role while, at the same time, providing opportunities to them for acquiring domain knowledge in their area of specialization or interest or current assignment.

This strategy is proposed for the following reasons:

1. The generalist nature of the service has served the country well, enabling the service to break the silos in vast administrative structure of the District Administration / State Government / Government of India. The intellectual strength of the senior civil servants to appreciate the country's problems comes from their ability to have 360 degree perspective on various issues on account of the experience acquired over the years.
2. The proposition that intellectual growth has to be incentivized also needs serious consideration because without monetary or other incentives senior civil servants will not pursue this course of action. At the same time opportunities for intellectual growth for IAS officers need to be expanded and liberalized, and the role of intrinsic motivation for self-development needs to be recognized.

There is, therefore, a need to embed incentives for intellectual growth into the fabric and work conditions of the service. Intellectual development should be an intrinsic feature of the higher civil services like the IAS and not merely the concern of a few academically inclined members of the service. A successful career progression should be predicated on intellectual growth.

Relevant International Experience

For conceptualization and formulation of policies and programmes, academic and research bodies need to be involved and their valuable inputs should be sought. This needs to be done both at the national and international levels. This will benefit educational institutes as well as the administrative wing of the government. The educational institutions would realize the importance of their research and the administration will come to understand the extent to which policies / projects could be made efficient and effective.

In the corporate world of several developed countries, employees are allowed sabbatical to undertake research and come up with something to improve his / her performance or eco-system. This provides respite from the daily chores and enhances job and personal satisfaction which, in turn, helps the organization. In fact, sabbatical means any extended absence in the career of an individual in order to achieve something, such as writing an article or a monograph or a book or travelling extensively to gather enriching experience or for research. Some universities and institutional employers of scientists, physicians, and academics offer the opportunity for paid sabbatical as an employee benefit, called 'sabbatical leave'.

Any system is always open for improvement. Business Process Reengineering (BPR) is a standard methodology adopted in most of the corporate world of the USA for improvement in what they do. BPR can be used to streamline most of the routine work in all the offices by taking very simple steps such as designing forms and checklists. Hence it is felt that training in conceptualizing and executing BPR should be imparted to the IAS officers as part of their training.

Recommendations

A review of various reports, such as 10th Report of the Second Administrative Reforms Commission (ARC), 2008; Hota Committee Report, 2004; Surinder Nath Committee Report, 2003; Report of Committee to Review In-Service Training of IAS officers (Yugandhar Committee's Report), 2003; etc. provide a definite indication that integration of intellectual growth into the service career progression is necessary. As recommended in the 10th Report of ARC, successful completion of mandatory training should be one of the criteria for promotions and confirmation.

The recommendation of the Hota Committee on Civil Service Reforms (2004) that lateral movement to NGOs and even private sector may be allowed to acquire relevant experience is also worthy of consideration. Skill assessment and upgradation of service members should be done by all departments at the national

and state levels. State and national awards for outstanding work should be liberally instituted. A positive atmosphere of encouragement to service members for acquiring higher academic qualifications and for contributing to reputed journals should be developed.

Various committees, from time to time, have emphasized that domain specialization or expertise is a must for senior IAS officers at higher echelons of their careers and postings. The domains for specialization by the IAS officers could be selected by the Civil Services Boards at the central and state levels on the basis of an assessment of the skills, specializations and training acquired by the officers in their career. Surinder Nath Committee, 2003, Hota Committee, 2004, and the Second ARC have all strongly rooted for domain specialization and incentivizing professional knowledge and skills, in specific areas in order to match officer capabilities with his / her assignment.

Intellectual growth through relevant training, academic output in areas of public policy, diplomas and degrees in specific areas should constitute the basis for officers to understand their capabilities, leading to domain selection for their future careers. This should be done both at the State and the Centre level through the instrumentality of the Civil Services Boards.

The following recommendations and suggestions are accordingly proposed:

Utilization of Database: In the Annual Confidential Report (ACR) of all the IAS officers, details regarding the training undergone are recorded. ACR also contains information about the fields in which the officer needs to be trained. But this information largely remains unutilized. It is recommended that in addition to the training undergone, information regarding attending of important Conferences / Seminars too should be recorded in the Executive Record (ER) Sheet. A database of training needs of the officers should be created. This database could be easily utilized by the DoPT to design and execute training programmes. This data regarding training, conference, seminar etc. should be used further for developing the database of mentors.

Need-based Training: Whereas generic training is very essential for setting base-lines for administration, training of officers of super-time scale / Joint Secretary (JS) to the Government of India (GoI) or above should be designed to suit their professional needs or the area in which the officer wants to specialize. The smorgasbord of trainings on offer should be enriched with more specialized offerings.

Job-specific Training: More often than not, officers are assigned to jobs without any specific orientation or familiarization. Generic orientation, no doubt, helps them to learn on the job quickly, however, as a policy an officer of super-time scale / JS to the GoI or above should be allowed to undergo one-week training in any designated institute on getting a new assignment. This would enable him to improve his / her efficiency in managing the new assignment. In case of frequent transfers too, he / she should be encouraged to undergo such an orientation protocol.

Mentoring/Counselling: The practice of formal mentoring / counselling is almost non-existent in the service after the LBSNAA and district training. During the District training the district collector, by default, takes on the mentoring role for a short period. The process of mentoring can be expanded to include all levels of the IAS officers and must be formalized. In due course, especially after the Phase 3 training, senior officers with identified specializations should be encouraged to take on the mentoring role vis-à-vis their junior colleagues. For this purpose, a database of officers can be maintained, to start with, at the State level and, in due course, at national level. This would be a two-way intellectual growth opportunity for the officers. Many officers would be benefitted from the advice and guidance from more experienced officers of their or another cadre, irrespective of the fact whether they currently hold any assignment in that field or not. In certain situations, reverse mentoring may also take place when a junior colleague, by virtue of his prior experience about the assignment or expertise, may mentor his senior colleague, if he so desires.

Incentives for Academic Development: Study leave for pursuing courses in any reputed national or international institute should be allowed periodically, preferably every 15 years. Gaining knowledge or upgrading skills at world class institutions helps one to broaden the outlook, vision, as well as perspective and, in turn, impacts on behaviour and outcomes. This also allows the officer to imbibe globally desirable knowledge, skills and attitude, which can be implemented on getting back to work.

Publications: As of now, publication of articles or books by an officer is not shared as a matter of pride by the service. If at all there is information about them, it is by default. There should be a formal mechanism by which these publications are evaluated by the LBSNAA and shared with the officers on-line. Sharing of ideas enhances the intellectual repository of the service and encourages others to document experiences, opinions in a meaningful manner.

Participation in Seminars / Conferences: All across the globe, conferences and seminars are held continuously to update and develop new strategies in various fields. IAS Officers are generally neither inclined nor encouraged to present papers in order to project the Indian perspective in such events. More often than not the papers to be presented are not cleared by the government in time; thereby the opportunity to make India's presence felt in the global context is given a go by. Officers should be encouraged to attend relevant conferences / seminars at national / international level, thereby allowing them to remain updated with the latest and best thinking on the subject. If required, additional funds should be earmarked for this purpose.

Provision of Resources: Officers should be allowed additional fund for buying books, journals, e-Subscriptions, software etc. to acquire knowledge and expertise in the areas relevant to their work or area they want to specialize in. During the period of study, they should be provided secretarial as well as financial assistance to conduct research / surveys and publish research papers.

Sabbatical: An emerging international trend, both in corporate and government sectors, is to step away from current assignment, in order to broaden perspective and augment learning. Such away from day to day work helps look at issues critically and objectively. However, this is not a recognized concept in the IAS so far. Officers should be encouraged to go on sabbatical every 10 years or so for a period of 6 months to one year. This provision can be considered in addition to the statutory study leave. Papers written or survey carried out during such sabbatical could be considered for publication and presentation in the seminars / conferences mentioned above as well for implementation by concerned organization.

On-line Training: So far the only formal training available for IAS officers is the classical class-room, face-to-face model. LBSNAA could consider developing on-line courses and programmes which can be taken up by officers in different fields and there could be online training and certification. Online training by other institutions may also be considered for this purpose.

BPR Training: Indian bureaucracy needs to improve its processes on continuous basis. Business Process Re-engineering (BPR) should be made an integral part of all the government offices. This would streamline most of the routine issues and even other matters in due course. Training for BPR too is necessary. It is strongly recommended that all the officers must be imparted BPR training.

Implementation Strategy

Incentivizing intellectual growth and development of the civil service officers requires a conscious move away from the present system of sporadic trainings, which often does not have much relevance to the career development plan of the officers. It would also imply shifting of focus from the generalist approach to the semi-specialist one. The present practice of recruiting officers as generalists should be continued. However, after initial eight to ten years of service, the officers should be encouraged to specialize in a sector befitting their core competencies and aptitude.

Implementation strategies regarding some of the recommendations outlined above are suggested as follows:

Mentoring: A gradual start of mentoring with willing officers as mentors and mentees could be considered. The mentors may be asked to facilitate officers to identify their core competencies that may consciously be developed after the initial eight to ten years of service. There should be a specific career development plan for each officer involving both core competencies as well as general leadership, as he / she move up.

Sabbaticals: The willing officers may be given an option to go on a sabbatical to do research / study. This can be over and above the study leave.

Training: Several facilities for intellectual growth of IAS officers have been made available by the Government, such as regular one-week optional and phase-wise in-service training, facilitating partial funding for acquiring a degree from reputed foreign universities, and provision of study leave. These should be continued. The

offerings for one-week trainings on domain knowledge and compulsory phase-wise training organized by LBSNAA should retain its comprehensive character.

Acquisition of Additional Qualifications: Further, the officers ought to be encouraged to undertake specialized training in leading professional institutions of the world. If an officer secures admission in a prestigious institution, the government may at least partly fund the study/programme.

Online Training: Online training may be launched within 6 months or so, preferably by LBSNAA. This would benefit officers at all levels. It would also give an opportunity to experienced officers and experts to provide wholesome inputs which will help the administrators whether they are working in the field or at the State / Centre level. It will, in turn, also lead to exponential growth in capacity building with very high Return on Investment.

BPR Training: BPR training is an area that has not been explored by administrative training institutes as yet. LBSNAA may take a lead and start imparting training within 6 months, and develop master trainers who, in turn, would impart training in State ATIs. LBSNAA should also conduct work studies to streamline government processes.

SYNDICATE PAPER 4

By, Dr. E. L. S. N. Bala Prasad; Dr. Guruprasad Mohapatra; I. S. Nagesh Prasad; Rajendra Shankar Shukla; Raj Kumar; Ram Mohan Mishra; Sanjiv Nandan Sahai; Utpal Kumar Singh; and Varinder Singh Kundu.

Mid Career Domain Specialisation

Abstract

This paper emphasizes the need for putting a premium on intellectual growth of civil servants and on upgrading their domain knowledge in the performance of their generalist role.

Problem Articulation

For a long time, the generalist versus specialist debate has figured in public administration discourse. Concerns for specialization in civil servants emerge from an implicit acceptance of a generalist viewpoint. Implicit also is recognition of utility of its broader, cross-cutting perspective in policy formulation and decision making, as against inherent limitations of domain-specific orientation of a technocrat.

In these times of rapid change, the need for mid-career domain specialization assumes special importance in order to overcome inherent shortcomings of generalist civil servants, although it is not to be mistaken as a call for specialists to take over the bureaucratic mantle. There is recognition of a need to intellectually empower and enable members of All-India Services, such as the IAS, to acquire sectoral orientation and domain expertise in a turbulent environment.

This paper is predicated on the assumption that an IAS officer's career can be broadly divided into three phases. In the first decade, he or she is involved in programme implementation and coordination in the field. In the second decade she / he moves to the State headquarters or Government of India for a role in general management and even policy making in specific sectors. In the final decade and thereafter the officer occupies critical policy making positions. Officers, hence, need to be adequately equipped to handle the last two phases of their career. The all-important issue, then, is to lay out a framework for mid-career domain specialization. And equally important is the challenge to make it work.

Trends Overseas

Across the world, senior echelons of civil service are occupied by either generalist career bureaucrats, who are recruited early and have permanency of tenure and enjoy horizontal mobility across organizations, or technocrats, who are chosen on the basis of their expertise and suitability for particular positions for a specified period.

In some measure, both varieties exist in most countries, although one of the two tends to define the system. Domain specialization is a prerequisite in the position-based, contractual recruitment process in Australia, New Zealand, the USA and some other developed countries. It is not the same in the case of career civil servants, who are selected at a young age through competitive examinations in

India, Malaysia, and Singapore among others. Nevertheless, it has been seen that even in the case of permanent civil service systems there have been attempts at domain specialization. For example, it has been reported that career civil servants are assigned to particular sectors and domains in Korea and Japan. In the UK, there has been a concerted move to equip permanent civil servants with additional skills, whereas in France the *École nationale d'administration* (ENA) produces qualified professionals.

Reports and Recommendations of Committees

Saliency of the theme of domain competencies of career civil servants has always been recognized. It had engaged the attention of successive governments, which entrusted the task of studying it to several committees, from time to time. A brief summary of their findings and recommendations are outlined in the following sections.

Surinder Nath Committee Report, 2003

In 2003, the Government of India set up a Committee under Lt. Gen Surinder Nath to Review the System of Performance Appraisal, Promotion, Empanelment and Placement for the All India Services and Other Group 'A' Services. The Committee submitted recommendations on the system of performance appraisal as also on promotions and placements (including empanelment and posting) in Government of India, under the Central Staffing Scheme (CSS). With regard to promotions, it recommended the principle of merit-cum-seniority while suggesting a provision for compulsory retirement of non-performing civil servants after reaching the age of 50 years or on completion of 30 years of service.

The committee observed that the profile of an IAS officer undergoes significant change as she / he moves from programme implementation in the first few years of her / his career to programme formulation and policy making levels subsequently. Therefore, it underscored the need for having career-training programmes to equip officers with capacities required for their future positions.

The Committee grouped different functional requirements of government into the following domains:

- (i) Agriculture and Rural Development; (ii) Social Sectors (Education, Health, Tribal Welfare, etc.); (iii) Culture and Information; (iv) Natural Resources Management; (v) Energy and Environment; (vi) Communication Systems and Connectivity; (vii) Infrastructure; (viii) Public Finance and Financial management; (ix) Industry and Trade; (x) Domestic Affairs and Defence; (xi) Housing and Urban Affairs; (xii) Personnel and General Administration; and (xiii) Governance Reform and Regulatory systems.

On the issue of placement of officers in these sectors, the Committee observed:

“The principal problem under the Central Staffing Scheme is that there is no systematic matching of the competency requirements for particular positions and the backgrounds of the candidate officers. Also, there is no formal system of eliciting the interests and preferences of officers for particular positions, consistent with their background and broader career interests. The result,

frequently, is a glaring mismatch between the required competencies and the backgrounds of officers selected for the positions. Career profiles of officers end up displaying the features of a 'random walk', with no regard to building skills and capabilities. In the long-term, these result in poor policy-making and implementation, as well as insufficient capacity for policymaking and public management."

To remedy the situation, the Committee recommended that officers be assigned to three out of the eleven identified domains during the process of empanelment as Joint Secretary / Additional Secretary. The Committee suggested that officers at the time of empanelment may submit a write-up summarizing their experience, academic background, training courses undergone, research accomplishments etc. These credentials should be assessed for empanelment in order to determine the suitable domains. It also recommended continuation in the same domain while being empanelled as Secretaries to GOI, except if there were any significant change in their qualifications or work experience.

B. N. Yugandhar Committee, 2003

Recognizing the rapid changes in the public administration environment, highlighting a need for greater professionalization of senior civil servants, a committee, headed by Shri B N Yugandhar, a former Director of LBSNAA, was set up to Review In-Service Training of the IAS Officers. The committee laid emphasis on domain specialization in addition to recommending implementation of Surinder Nath Report.

P.C. Hota Committee, 2004

The Hota Committee on Civil Service Reforms went into the entire range of issues concerning Civil Services in order to make it transparent, citizen-friendly, ethical and accountable. One of its terms of reference is of particular relevance to the subject under consideration, namely "putting a premium on intellectual growth of civil servants and on upgrading their domain knowledge".

To start with, this committee also recommended implementation of the Surinder Nath Committee for increasing the domain competencies of IAS officers. While emphasizing innovation and performance, it laid stress on career planning of officers, duly factoring in domains of governance. Other recommendations included processes for assessment of officer's skills, lateral movement to NGOs, and availability of greater training options in open universities as well as foreign institutions. Clearly the intention was to increase the capacities of the officers through increased domain knowledge.

The Second Administrative Reforms Commission (ARC) Report, 2007

From among the gamut of its terms, the 2nd ARC Report considered the issue of mid-career domain competencies. It held that:

"The functions of the civil services in India can be broadly classified into three main categories: (a) policy formulation, (b) programme / project preparation, and (c) implementation of programmes and policies. Consequently, there is a change in the nature of the functions and responsibilities as an officer moves

up the official hierarchy. In this context, domain competence becomes increasingly important when an officer starts dealing with policy formulation during the latter half of his career.

“Domain competencies refer to knowledge and experience in the sector, where the civil servant functions and this is normally acquired not only through academic studies, but also through managerial experience in that sector. There is considerable confusion about the concept of domain competence. It is generally discussed from the point of view of a generalist to decide as to which Ministry he / she may be best suited based on his / her experience, aptitude and potential. Domain competence actually refers to functions and not Ministries. Ministries require officers with different domain competence and the challenge at senior management levels is to select generalists who have ‘specialized’ and specialists who have ‘generalized’ and appoint them to appropriate positions”.

The second ARC assessed the different functionalities of government and delineated the following twelve functional domains of civil services as follows.

- a. General Administration; (ii) Urban development; (iii) Security; (iv) Rural Development; (v) Financial Management; (vi) Infrastructure; (vii) HRD and Social Empowerment; (viii) Economic Administration; (ix) Tax Administration; (x) Agriculture Development; (xi) Natural Resources Administration; and (xii) Health Management.
- b. The Commission recommended posting officers on the basis of his / her suitability for the post on offer. It suggested creation of a Central Civil Services Authority, which will have the responsibility of assigning functional domains to officers of All India Services and Central Civil Services after 13 years of service. The Authority was to be tasked with the responsibility of inviting applications from all officers, with complete details of their credentials, who had completed minimum qualifying years of service. A consultative process was envisaged for assessment and interview of officers for assignment of domains. The Commission favoured the Authority with powers to assign officers to such domains too which did not figure in anyone’s choice. Thereafter, postings were to be in assigned domains. It also suggested that Department of Personnel and Training (DoPT) should match requirements of various positions with the competencies of the officers at the level of Director / Deputy Secretary in the Government of India (GoI).

Civil Services Survey Report, 2010

The Ministry of Personnel, Public Grievances and Pensions, Government of India, engaged Centre for Good Governance, Hyderabad, in consortium with AC Nielsen ORG-MARG, to conduct Civil Services Survey in 2009. The report was published in 2010. The Survey was conducted among officers of 3 All India Services and 7 Central Services. 4808 officers of varying seniority participated in the Survey, which constituted about 26% of all serving officers in 10 organized services.

Among other things, the Survey sought to elicit response of civil servants about the need for specialization with a view to increasing competence of officials in policy formulation. An overwhelming proportion (77%) of civil servants agreed that there was a need for specialization in one or more sectors. The respondents also informed that learning on the job and self-development and self-study were two main sources of knowledge acquisition, whereas in-service training was not considered very useful. The reasons identified were that training programmes were not tailored to the needs of officers, and that post-training placements were not linked to the training.

It was felt that if domain competence was to be acquired, officers should have been required to learn on the job as well as through academic inputs. The officers need to be encouraged and rewarded for acquiring knowledge and skills from the best institutions in India and abroad in the fields. At the same time all structured and short-term training programmes were to be geared towards broadening and deepening learning of the officers in similar fields. Thereby, it was felt that, officers would be in a much better position to take advantage of formal and informal training and learning in sectors related to assigned domains, and significantly enhance their capabilities for policy formulation and program implementation in their States as well in the Central Government.

Recommendations and Implementation Modalities

A careful consideration of the reports mentioned above leads to the conclusion that while it is essential to continue the generalist nature of the IAS to serve the administrative needs, it would be useful also to develop domain competencies of each IAS officer in at least 2 or 3 functional domains, as suggested in the Surinder Nath Committee Report. This would ensure a right mix of skill sets which will fit in with the structure of having a service pool of competent administrators and managers, who will have general managerial competencies as well as some domain competencies. It would avoid a situation of narrow specializations and increased 'silo-isation' and will continue to lend flexibility to the administrative structure and ensure that the officers have enough understanding of various other departments as well. International experience too indicates that at senior levels it is useful to have a pool of professional managers with cross-domain experience.

This mix of general with some functional domains competencies should be ensured not just at the time of empanelment for postings at the Centre but should also be equally applicable to the Super-time Scale postings in the respective State Governments.

In this context the following factors have to be kept in mind:

- a) The need to have a credible process by which officers are assigned the domains;
- b) The process should allow for options, as far as possible, to the officers;
- c) There should be a common process for assigning such domains to officers serving both at the Centre and in the States;

- d) The training in the assigned domains at periodic levels should be institutionalize; and
- e) Due weightage should be given to the competencies in the respective functional domains while posting the officers.

It is, however, not advisable to follow the recommendation of the 2nd ARC and constitute a Central Civil Services Authority. Creating alternative and additional administrative power centres is not really desirable. It would suffice if a committee is constituted by the Government for this purpose at periodic intervals. This committee may be chaired by a member the Union Public Service Commission (UPSC), and may, in addition, comprise three Secretaries to Government of India. It should be mandatory for all officers with 12 years of experience to apply with details of their options of functional domains in order of priority, academic record, trainings already undergone, if any, and their specific administrative experience. The committee should screen the applications and assign any 2 domains to each officer. The domains so allotted should be generally final. In the process it is possible that many officers may not get their first or second choice of domain options. This should be acceptable, as even at present the postings are not chosen by the officers. If necessary, the All Indian Services (AIS) Rules may be amended to facilitate such assignment of domain competencies.

If the functional domains are allotted before the officers come to Lal Bahadur Shastri National Academy of Administration (LBSNAA) for Phase-III training, it would then help the LBSNAA to impart some domain specific training, along with the regular training, during that period. From this stage onwards, all further trainings imparted to the officers should be pre-dominantly domain specific. If any officer opts to pursue studies abroad in the allotted domains, she should be allowed to do so. The DoPT sponsored long-term foreign trainings should also be domain specific, as far as possible. The Government should encourage officers to attend conferences, seminars, and undertake study tours and trainings within their allotted domains.

The allotment of domains at 12 years of seniority would enable government to make efforts to post the officers in sectors associated with one of the allotted functional domains. By the time the officer gets to Super-time Scale, he / she would have gained about 4 years of experience in one or both domains allotted. Government, through the Civil Services Board mechanism, should ensure that the officers are given their respective domain specific postings as far as possible. This need not be a statute-based process and there could, at times, be deviations from the convention. Nevertheless, a beginning should be made without a rigid arrangement like the cadre allotment, for instance.

It is also suggested that while finalizing this arrangements GOI should have one round of consultation with the Cadre Controlling Authorities at the State level to bring them on board and get their buy in. This is important as the States have to ensure postings predominantly in the assigned areas of domain competencies. It is further recommended that feedback on this proposal may be obtained from all serving IAS officers having 10 to 20 years of seniority.

SYNDICATE PAPER 5

By, Mr. ICP Keshari; Mr. Jalaj Shrivastava; Mr. Rajesh Verma; Mr. Rakesh Kumar Vatsa; Mr. Sanjiv Kumar Mittal; Mr. Sanjiv Saran; Mr. Shailendra Singh; and Ms. Shikha Dubey.

Performance Appraisal

Abstract

In the context of reports and recommendations of various committees, this paper attempts to suggest ways and means to make the performance appraisal system a tool of developing the officer for higher responsibilities and, in particular, to enable him / her to deal successfully with contemporary challenges. The PAR should be a positive tool to build and nurture the officer and his domain knowledge and strength in a chosen field.

Present System and Problem Statement

Annual Performance Appraisal Report (APAR), as a tool of human resource management, is an important document, which provides basic and vital information about an officer for his career development. According to the All India Services (Performance Appraisal Report) Rules, 2007: "A performance appraisal report assessing the performance, character, conduct and qualities of every member of the service shall be written for each financial year or as may be specified by the government".

Some of the shortcomings in the present Performance Appraisal Report (PAR) may be listed as follows:

- It is often too late and too little and comes as a surprise.
- There is no provision for peer input.
- There is no thrust on team work and achievement of common organizational goals.
- It does not give any weightage to an officer's distinguishing traits.
- There is no scope for regular counseling and guidance.
- It does not provide any motivation for exceptionally good work.
- Superiors are uncomfortable with giving negative feedback.

International Experience

A study of practices in various countries, such as Australia, Canada, Finland, France, Germany, Malaysia, Japan, New Zealand, Philippines, Singapore, the U.K. and the USA reveals that a system of structured Performance Appraisal is being followed in most of the countries. The appraisal is done annually in all countries except in Germany and Philippines, where it is done bi-annually.

There is a clear link between the performance assessment of an officer and his / her future career progression, in all countries. As far as linkage between pay and performance, except for India and France, most countries provide financial incentives in the form of performance pay or a lump sum pay out. Australia,

Finland, New Zealand, Singapore and the U.K., provide for performance pay, which, in Finland, could be as high as 30% of the basic pay. USA too has provision of special fund for payment of performance bonuses and departments have flexibility to implement special packages. In Canada, discretionary lump sum pay outs up to 10% to 15% are given. In Malaysia, the annual salary progression is determined by performance of the individual concerned.

As far as the writing of Annual Confidential Report (ACR) / PAR is concerned, almost all countries follow the practice of having an annual performance contract between the officer and his supervisor to determine the expected performance in the year ahead. However, it is widely accepted that the performance targets at the higher levels of bureaucracy are likely to get modified in the course of the year as they are affected by political considerations. Hence, quantification of targets and achievements against them is not always possible. The appraisal forms in most countries, therefore, require the supervisors to grade the officer on their traits. A 360 degree evaluation by the superior officer, peers and subordinates is being done in Canada, Japan, Philippines, and Singapore. Further, in case of Canada and Singapore, the feedback of customers is also taken into account for jobs that entail public interaction. It may be mentioned here that in the Singapore model of civil service, which is widely acclaimed, the assessment by the supervisory officer is not revealed to the officer concerned.

There are lessons, in principle, no doubt, to be learnt from other countries. For transforming our bureaucracy from its traditional approach yielding incremental results, we need to use Performance Appraisal as a tool to develop the officers as aggressively collaborative team leaders for achieving exponential growth. For this purpose, instead of awarding numerical grade, it is essential to develop a sensible 360 degree evaluation system that includes the weighted and objectively structured assessment of officers by their superiors, their peers as well as the subordinates. Thus the complete personality and traits of the officer, and not merely the observations of his superior, including the officer's ability to attain his team objectives, would get reflected holistically in the PAR.

Moreover, the reporting and reviewing officers need to be sensitized and re-oriented in recording their observations in the APAR so that the comprehensiveness and objectivity in assessment is maintained. The numerical APAR grading and giving a copy of the report to the officer should not be an end in itself; as this results in supervisory officers routinely giving 9 or 10 out of 10, in order to maintain cordial relations with the officer concerned. This risk-averse tendency leads to distortions in the long run. A reasonable approach would be to reveal only the gist of the observations, the grading and adverse comments, if any, to the officer reported upon with the objective of collective goal achievement and improvement, and not criticism or favoritism.

Recommendations of Committees on Performance Appraisal

Surendra Nath Committee, 2003

Performance appraisal should be primarily used for the overall development of an

officer and for his / her placement in an area where his / her abilities and potential can be best utilized. The entire performance record, including the overall grade, should be disclosed to the officer reported upon. The formal performance appraisal regime should be complemented with an institutionalized means of ascertaining the reputation of civil servants, consistent with our culture and ethos. Only those who can demonstrate a credible record of actual performance and possess the necessary knowledge, skills and attitude required for discharge of higher responsibilities should be promoted. Promotion norms should be stringent and merit-based. Promotion should be based not only on current performance but also on potential for performance on higher post. Effective system of screening may be adopted for identifying the officers to be screened out.

Hota Committee, 2004

ACR should be replaced with a system of performance assessment in which greater emphasis is placed on objective assessment against agreed work plans. Officers must have Annual Performance Plans as a component of the Action Plan 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 method of target setting should be adopted to ensure that an officer is held strictly accountable for performance. After 15 years of service, a rigorous review of performance of civil servants should be carried out, based on the earlier quinquennial review of performance. If an officer is not honest and performance-oriented, he / she should 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 should be carried out subsequently at periodic intervals to determine if the performance level of an officer has fallen sharply or if there are allegations against an officer's integrity.

Recommendations and Implementation Strategy

Given the rapidly evolving challenges of public management, the present objectives of performance appraisal need to be adequately widened to respond to the emerging needs of governance and accountability. Performance appraisal cannot serve only as a tool to assess suitability for vertical movement, but it should be primarily used for overall development of the officer, and for his placement in an area where his abilities and potential could be utilized to best advantage of the government and in public interest. There is, thus, a need for a paradigm shift in the philosophy of appraisal for which the following objectives may be considered:

- (i) PAR should make an assessment of the officer's professional capabilities, with a view to determining capacity building needs and suitability for particular areas of responsibility / assignments (Training and Placement Function).
- (ii) It should provide counseling to the officer to improve his / her performance, professional capabilities, and conduct with the peers, juniors, elected representatives and the general public (Feedback and Counseling Function).
- (iii) It should be a tool for developing a work plan for the year (Planning Work Function).

- (iv) Performance appraisal system should make an objective assessment of the officer's performance in the current assignment, including performance in training and posting on deputation outside the Government, based on monitorable inputs, relative to his/her peers, with a view to determining suitability for higher responsibilities and special assignments (Promotion Function).
- (v) It should identify genuinely exceptional accomplishments, including innovations, with a view to giving due recognition (Recognition function).
- (vi) It should also enable the officer to identify systemic shortcomings in the organization with a view to improve governance standards (Governance Function).

A marking system may be introduced in performance appraisal whereby, say, 75% marks could be based on actual achievement of targets and remaining 25% could be based on assessment of attitude, style of working and other relevant personality traits. Good performers should be rewarded through better compensation, promotion and special training opportunities. Introduction of 360-degree review mechanism, regular feedback mechanism, mid-career reviews, performance-based incentives and disincentives, deputation to private sector, etc. should also be considered as optional methods of appraisal and recognition. As to the modalities, a weighted average, depending on the post held, could be considered.

The appraisal ought to be made more consultative and transparent; and performance appraisal formats should be made job specific with three sections, namely a generic section that meets the requirements of the service, another section based on the goals and requirements of the department in which he/she is working, and a final section which captures the specific requirements and targets relating to the post the officer is holding. Performance appraisal should be done throughout the year; provisions for detailed work-plan and regular reviews should be introduced; including a mid-term review, even if it is only by way of discussion and monitoring of targets.

Guidelines need to be formulated for assigning numerical rating. For this purpose DoPT should issue a detailed advisory to the reporting and reviewing officers on assigning numerical ratings.

The present performance appraisal system should be expanded into a comprehensive Performance Management System (PMS). Annual Performance Agreements should be signed between the Minister and the Secretary of the ministry/heads of departments, providing physical and verifiable details of the work to be done during a financial year. The actual performance should be assessed by a third party, say, the Central Public Services Authority, with reference to the annual performance agreement.

A system of two intensive reviews – one on completion of 14 years of service, and another on completion of 20 years of service - should be established. The first review at 14 years would primarily serve the purpose of intimating the public servant about his/her strengths and shortcomings for his/her future

advancement. The second review at 20 years would mainly serve to assess the fitness of the officer for his/her continuation in government service as well as future responsibilities. The detailed modalities of this assessment system would need to be worked out by government.

The appraised and her/his reporting officer should prepare a work plan for the coming year, setting forth the key tasks to be accomplished, and detailing, in order of priority, the specific deliverables for each task (in quantitative or financial or qualitative terms) and the key assumptions made in arriving at the plan. This work plan would be updated at regular intervals.

The APAR of IAS officers has been computerized. It should be effectively used for the following purposes:

- (i) Monitoring the timely writing of the appraisal report by Reporting and Reviewing Officers.
- (ii) Facilitating the development of a Master Data Sheet (MDS), which could be used by the promotion/screening committees for various personnel activities.
- (iii) Providing assistance to promotion/empanelment committees in accounting for systematic variations in grading standards across different State cadres and identifying inconsistencies between overall grades and grades for individual attributes.
- (iv) Drawing panels/shortlists of officers for specific assignment/training programmes.
- (v) Maintaining an effective database of officers, which could be tapped for various purposes.

The proposed appraisal system needs to be coordinated with other developmental activities so that it yields better results. Importance should be given to the decisions taken after the feedback process is complete. The process should not end at the feedback report; rather it should be aimed at providing suggestions for improvement and preparing comprehensive training programmes. Appraisal feedback should be treated only as one part of developmental process and not the only way to development. Other developmental factors should be linked with the appraisal process to motivate the employees to improve their performance.

In conclusion, PAR should be a positive tool to build and nurture the officer and his domain knowledge and strength in a chosen field like Infrastructure, Social or Economic sector etc. which should get reflected in the ER Sheet, maintained by the DoPT.

SYNDICATE PAPER 6

By, Mr. Anil Kumar Bellavi Hanumantharaju; Mr. Anil Mukim; Mr. Anil Srivastava; Mr. Barun Mitra; Mr. Kadim Narayana Kumar; Mr. Prabhat Kumar; Mr. Rabindra Panwar; Mr. Rajeev Arora; Mr. Rajneesh Vaish; Mr. Sandeep Dave; and Mr. Sanjeev Ranjan.

Empanelment and Promotions

Abstract

This paper makes a critical assessment of the current system of empanelment for promotions to the Super-time Scale and beyond in the Government of India and suggest an alternative model.

Problem Statement

The current process of empanelment followed by the Government of India for its senior positions, namely JS/AS and Secretary; is fraught with several inconsistencies, contradictions and infirmities, leading to great discontentment among the IAS officers. On account of the unscientific method of empanelment, several good officers, who ought to be working for the government of India, tend to lose out and the national interest is compromised to that extent.

A Critique of the System of Empanelment

Most IAS officers get their promotions within their respective State cadres and usually do not look up to the Government of India for their promotions. As the maximum tenure for an IAS officer allowed in the GoI is seven years at a stretch, and, in any event, for the overlapping period, *pro forma* promotions are available, the issue that actually requires to be discussed is the process of empanelment and not promotion *per se*. Further, the Government of India, by the time it gets to give promotions to IAS officers at the Centre (after following the process of empanelment), there is usually a lag of nearly two years, if not more. Since most promotions take place within the State itself, after following the due procedure, the critical process that needs revamping is the empanelment procedure, as currently followed by the Government of India.

The present system of empanelment for the posts of the level of Joint Secretaries and above is very opaque. To begin with, the unsigned Empanelment Guidelines available on the net (http://ccis.nic.in/WriteReadData/CircularPortal/D2/D02eod/JS_Guidelines.pdf) are half-baked and contradictory in the qualities that they seek from the officers, for being considered for the Government of India. While para 2 of the guidelines state that empanelment should be considered not as a reflection of the intrinsic merit or otherwise of an officer but the suitability of an officer to occupy senior levels in the Central Government, paras 3 and 4 give an impression that merit (grading) is a criteria. The Civil Services Board (CSB) has no other mechanism to find out the officer's reputation, or merit, or flair for policy making, other than the collection of the Annual Confidential Reports (ACRs) for the period that they assess. The CSB, in effect, does a mechanical job of evaluating an officer, based on either the ACRs or personal knowledge, if any.

The expressions used in the para 2 that some officers are 'suitable' for the Centre and some others are 'highly suitable' for the States, are not only ambiguous but also objectionable. The objection is rooted in the fact that the very basic premise of an All-India Service (AIS) is its inter-operability between the States and the Centre and the ability of the officers to bring in the experiences of the State to the Centre. All AIS officers, by definition, would have the requisite background and experience to work for the Government of India. The statement made by the DoPT is not just vacuous, but also undermines the very basic logic of the All India Services. An AIS officer is supposed to work at both the State and the Centre so that he/she can use his/her experience of working at both levels for better policy formulation. Apart from the fact that such a classification is artificial and works more as an entry barrier than anything else, the usage of the expression 'suitability' is a play upon words without any serious intent really to choose the best officers for the Government of India. It appears that the clause relating to the 'suitability' of an officer has been added as an afterthought, just as a palliative for the 'rejects'.

For example, there is the case of an officer who was not found suitable at each of the three levels (JS, AS & Secretary), and therefore, could never work for the Government of India. However, he was later appointed as the Cabinet Secretary, Government of India. Another case in point is that of an officer, who despite having several stints with the Government of India, was ignored and not found suitable for promotion to the level of Secretary to the Government of India. This officer has since quit the service and started pursuing a teaching career in a reputed US university. It is further to be noted that in a recent empanelment to the Additional Secretaries, not a single officer from three States viz., H.P., Madhya Pradesh, and West Bengal has been found 'suitable'. It defies logic that even large States like Madhya Pradesh and West Bengal could go completely unrepresented in the central government. Furthermore, several IAS officers, who had been conferred the P.M.'s Awards for Excellence in Public Administration, have not been empanelled.

It is also observed that the DoPT never reveals the procedure of constituting the 'Expert Panel'. What guidelines are given to them and how the recommendations made by the Panel are evaluated by the CSB are not made public. The process is kept a closely guarded secret, leading to a reasonably fair conclusion that the whole process is very opaque and nuanced. So much for the 'proactive disclosure of information' advocated by the Right to Information Act, 2005!

It is also to be noted that an officer is not empanelled for two years if he has been on a foreign assignment for two or more years (Clause 16 of the Central Staffing Scheme). This provision is not only illogical but also goes against public interest in several ways. For one, the valuable experience that an officer gains during a foreign assignment is not being allowed to be brought into the governance of India for a period of two years, which is against the interest of the country. Further, going on a foreign assignment which, in the first place, was in public interest and approved by the DoPT itself, is ultimately treated as a handicap and the officer concerned is punished for this disability inflicted upon him. This rule is another

example of an entry barrier erected to prevent good officers from working in the Government of India. Ironically, there have been cases where officers, who were on leave abroad for several years, were accommodated on posts equivalent to Secretary to Government of India.

The entry barriers that are, thus, currently in operation have successfully ensured that the Central Deputation Reserve (CDR) in the State Cadres is not fully subscribed, leading to shortage of officers on deputation to Government of India. The impact has been so significant that only 60% of the Central Deputation Reserve was utilized in 2015. In no year it crossed 80%. From the following Table, it would become obvious that the Government of India is not taking / getting IAS officers in required numbers. Quite obviously and undeniably, it would have a negative impact on the governance of the country, if it has not already had. The questions that follows from this data is: 'How are these consequent vacancies being filled up?' 'Are they being kept vacant or are occupied by officials from other services?'

Table: Utilization of CDR

Year	Authorized Strength	Actual strength	Proportionate CDR	Actual number of officers at the Centre	% of CDR
1.1.2011	5680	4428	946	735	80
1.1.2012	6077	4225	901	677	79
1.1.2013	6217	4230	901	645	76
1.1.2014	6217	4605	984	651	69
1.1.2015	6386	4789	1024	563	60

This averment is further exemplified by the fact that over the last 5 years more than 40 positions at the level of the Additional Secretary have simply disappeared. In 2010, the GoI appointed 129 Additional Secretaries and, after a progressive decline, year after year, by 2015 only 89 posts of the Additional Secretaries had been filled. The question that arises is: 'Where have the remaining 40 posts gone?'

Another issue that requires to be looked into is the fact that empanelment is being done once at the Joint Secretary level at the conclusion of the 20th year of the service, and then at two more levels of Additional Secretary and Secretary to the Government of India. Such a repetitive exercise, thrice in the career of an IAS officer, that too at short intervals for empanelment as AS and Secretary, is unnecessary. If an officer's career has been rigorously evaluated at the level of the Joint Secretary, subjecting him to the same procedure again is not only unnecessary but also unproductive.

Finally, the impact of not empanelling an officer on the overall governance and the officer's psyche and the trauma he suffers vis à vis his peers has never been studied nor factored in by the Government of India as part of its HRD policy. This has to be

looked into seriously by the Government of India and the LBSNAA should pilot the renewed thinking on this subject.

Conclusion

In the context of the foregoing analysis, the following suggestions are for consideration:

- (a) Abolish the empanelment process and accept the 2nd ARC recommendation to constitute an independent and statutory authority to look into all the senior civil service appointments through a transparent process. This body will also look into the domain specialization of an officer and allocate him/her to the right job.
- (b) In the short term, the process of doing three empanelments at JS, AS and Secretary levels needs to be dispensed with. It serves no purpose apart from creating unnecessary hurdles and heartburns.
- (c) It is noted that several IAS officers retire without ever working for the Government of India, which is violative of the spirit of the All India Services. This artificial barrier may also be one more reason for the inability of the Government of India to utilize the CDR. The government of India should create/enforce a legal framework such that every IAS officer is given an opportunity to work at the Centre, in order to realize his full potential and serve the nation to the best of his ability to improve the process of governance.
- (d) The possibility of 'en-cadring' a few posts/domains for the IAS, on the lines of the Indian Economic Service (IES), is another suggestion which is worthy of consideration.

SYNDICATE PAPER 7

By, Mr. Arun Singhal; Ms. Leena Nandan; Mr. Neelkamal Darbari; Ms. Nisha Singh; Mr. Pradeep Kumar; Mr. Pradip Kumar Tripathi; Mr. Praveen Kumar; Mr. Raj Gopal; Mr. Ram Subhag Singh; Mr. Tarun Kapoor; and Ms. Vini Mahajan.

Lateral Entry into Civil Services

Abstract

Against the backdrop of international experience, this paper weighs the pros and cons of lateral entry of private players into higher echelons of Government and advocates a cautious two-way approach.

Problem Statement

Perhaps it is an indictment of the Indian polity that despite some of the best young minds of the country joining the civil services in the face of intense competition every year, there is an ongoing debate today on the need for lateral entry at senior executive positions. It is being argued that lateral entry at senior levels would bring specialized expertise, good practices and work culture and induce competition within the civil services. The counter argument is that lateral entry at top levels may lead to a spoils system, weaken the unifying influence provided by All India Services, widen the gap between policy making and ground level implementation, and drive talented people away from a civil services career. The 2nd ARC has recommended lateral entry through a Central Civil Services Authority, while the Hota Committee did not favour the idea.

The issue to be debated is that, given the less than desired performance of court ordained Civil Services Boards in several states, how can it be ensured that a Central Civil Services Authority would be truly effective? Can state governments be restrained from adopting a lateral entry policy to suit the interests of the government of the day even if a calibrated policy is adopted by the central government? What is the best option for getting new thinking into policy making? All these are questions that need to be discussed, debated and answered before a system of lateral entry into civil services is contemplated. This paper attempts to analyze the issue by taking into account various studies and reports, and then come up with specific set of recommendations on the subject.

International experience

United Kingdom: In recent years, more than 30 per cent of vacancies at the top three levels of the Senior Civil Service constituted in 1996 have been openly advertised.

Singapore: Recruits to the civil service are taken from the top 200 of the graduating class at the National University of Singapore and Nanyang Technological University, and the selected candidates are put through a common one-year training programme. There is no provision for lateral entry.

Australia and New Zealand: The Senior Executive Service (SES) is a select, cross-departmental service appointed by the individual Chief Executives, but with the approval of the State Services Commission. The members of the SES are retained on fixed term contracts of up to five years with centrally determined salaries.

Japan: For the Japanese civil service, a competitive civil service examination is administered each year by the National Personnel Authority to recruit staff for three levels (higher, middle and lower civil services) to work only within the agency for which they are recruited. A recent adaptation has been the semi-autonomous executive agency idea. The CEO appoints senior executives on contract with performance-linked pay and these employees are dealt with as in the private sector.

A World Bank paper captioned 'Senior Public Service: High Performing Managers of Government' divides the senior public (civil) services world over into two broad categories - the career-based civil services and the position-based civil services. France, India, Italy, Japan, Korea, Malaysia and Spain belong to the first category where civil servants are recruited through competitive examinations at the entry level. On the other hand, there are countries like Australia, Belgium, Netherlands and the USA, where the system is more open, as appointments to senior positions are made from a wider range of all civil servants, who are qualified to apply as well as from individuals working in the private sector with relevant experience or other professionals. The World Bank paper points out that a major advantage with career-based civil services is that it helps evolve a common culture and value system that encourages establishment of a good communication system across government department and agencies. At the same time, the career-based system discourages initiative by reducing competition, as appointments to top positions are made only from among the members of a select group. However, this deficiency is easily addressed, especially in the context of larger bureaucracies like India, where more than adequate number of administrators with indispensable domain experience, and, if required, also with suitable academic qualifications, are very much available within the civil services. Conversely, under the position-based system of civil services the new entrants have apparently better chances of introducing some fresh ideas and new ethos into the otherwise conservative administrative system. While highlighting the merit of this system, the paper very categorically points out a major demerit: because this system has multiple entry and exit points, there is some risk of patronage in appointments and such persons do not stay in the system long enough to develop an *esprit de corps* similar to the closed system.

Recommendations

What is the purpose behind the move for lateral entry of experts into senior ranks of civil services? The entry of professionals from outside has been argued on the ground that it will help infuse a diverse work culture in government while enabling the government to tap the talent wherever available. Induction of fresh talent from the market is expected to buttress leadership and professional management capabilities in government's effort to improve the performance of public organizations. It is expected that such inductees would individually or collectively form a premium group, which would, through their domain knowledge, leadership, vision, performance, integrity, innovation and creativity, prove to be the agents of change and bring efficiency into a moribund system.

They would be entitled to differential conditions of employment, higher rate of remuneration and, may be, less job security.

A mention needs to be made here of the Civil Services Survey, 2010. The Survey specifically considered the issue of lateral entry at higher level in the Government from the private and non-profit sector into an otherwise cadre-based bureaucracy. The Survey brings out that 54% officers agree with the idea of allowing lateral entry of outsiders at the higher level into civil services on the basis of merit.

However, given our socio-political culture, the lateral entry system would be prone to non-transparent methods of selection. The lateral entrants would bring in the culture and value system of their own organizations, which may go either ways. Lack of a long-term stake in the system could make their actions agenda driven. The organized civil services have their own ethos, *esprit de corps*, which may create friction with the new entrants, as happened in New Zealand. The regular practice of inducting fresh people at the higher levels would also have an adverse impact on the quality of fresh aspirants to the civil services. As far as the private sector is concerned, top-class professionals would not be enthused about joining bureaucracy, given the likelihood of having to cope with multifarious agencies like CBI / CAG / CVC at a subsequent stage. We may, then, end up with lateral entrants, who are, at best, of above average quality. Lateral entry of talented experts into higher echelons of bureaucracy may not be the panacea that it is often made out to be. The reasons for slow and tardy pace of execution of projects have to be analyzed in greater detail, to find out whether it is the processes that delay or prevent execution or it is the people who are responsible for it. More often than not it would be found that it is the multiple layers of consideration, appraisal and approval, combined with scrutiny by all and sundry that often cause delays and earn the civil services unsavoury sobriquets (e.g. *babu*). The solution may, therefore, lie in simplifying processes and reducing layers of decision making rather than by substituting accountable civil servants with outside talent.

In sum, the arguments for lateral entry may be listed as follows:

- Induction of fresh talent and domain knowledge;
- Infuse different work culture and managerial practices;
- Focus on outcome; and
- Induce competition within civil services.

Arguments against lateral entry are:

- Problem lies in implementation, not policy making;
- Lateral entrants would be equally hampered by a lack of enabling environment;
- May lead to a spoils system;
- Weaken the unifying influence provided by All India Services;
- Widen the gap between policy-making and ground level implementation;
- May drive talented persons away from a civil services career; and
- Already being done for posts requiring domain knowledge.

The arguments above notwithstanding, it is imperative that a new approach be adopted, because the system needs re-engineering for maximizing outcome. So the question that arises is whether it is possible to bring in a fresh perspective by using the existing framework. The answer is that we should create and nurture an ecosystem which generates the best ideas and concepts from within the bureaucracy and outside through a two-pronged approach, without making appointments at senior level on the basis of lateral entry.

The Hota Committee had recommended hiring experts from the open market only in purely scientific and technical Ministries. It also recommended that civil servants should be encouraged to move laterally to non-government organizations. The Second Administrative Reforms Commission has recommended that in drawing up the list of external organizations to which government servants may be permitted to go on deputation, primary consideration should be the objectives and activities of such organizations and not merely its organizational structure. For the present, Government should permit deputation of civil servants only to such organizations that are engaged in non-profit activities.

Implementation Strategy

Firstly, we need to tap the vast pool of talent in the country and draw in renowned institutions like IITs, IIMs, Indian Institute of Science and so on. The Secretaries of different departments could be encouraged to constitute think tanks and expert advisory groups for preparing policy papers and to reach out to the institutions directly for this purpose. In this way, their ideas and innovations would be institutionalized as the department would have full ownership and would ensure implementation.

Secondly, we need to build on the core competence we already have in the shape of trained civil servants, who have vast experience of administration and governance and are conversant with the complexities of both. They should be groomed to become policy makers in tune with the changing environment. Thus, it is recommended that lateral exit should be allowed. In other words, between 15 to 20 years of service, officers should be assessed on the basis of their experience and professional background, combined with an assessment of their attitude and aptitude. This could be done by an independent committee comprising eminent representatives from IIMs / institutions of national repute and the UPSC. On the recommendations of this committee one-third of the officers in the zone of consideration could be considered for lateral exit, which means that they would be given the opportunity to serve for five years outside government—whether in the private sector, public sector, or international organizations. This would enable them to get a holistic view and open their minds to new possibilities and options.

As to the doubts often voiced that officers would get influenced by the organizations they have served in, which in turn would impact impartial policy making, it must be stated that intrinsic trust in the people identified by an expert group on the basis of their track record, is fundamental to transformational change.

SYNDICATE PAPER 8

By, Mr. Adyta Nat Das; Mr. Anil Kumar; Mr. Anil Sent; Mr. Chambal Ram Mena; Mr. Manor Thalami; Mr. Rajesh war Tiara; Mr. Sanjay Kumar Singh; and Mr. Srinivas Rao Mallampalli.

Reorganising Government

Abstract

This paper argues for a FAST (flatter, agile, streamlined and tech-enabled) Government in the context of the felt need for its reorganization. Reorganization requires not only restructuring of government institutions but also restricting the role of the essential public governance functions. After detailing three generic models of reorganising governments, based on international experience, it recommends the 'minimum government, maximum governance' model propounded by the Prime Minister of India. Some impediments to a reorganisation initiative have also been listed.

Overview

Governments all over the world are beset with new challenges. The expectations of citizens from the governments are ever increasing and with the fast growing communication and technologies the paradigm of governance is undergoing a transformation. This is evident from recent anti-corruption campaign in India built on the new tools of communication. To be "efficient and effective in today's complex, interlinked and fast-changing environment, governments need to redesign their structures and processes to capitalize on a new set of actors and tools."¹

The touchstone of efficacy of any enterprise, which is true in case of government too, is the creation of value. Government need to stay relevant, by "being responsive to rapidly changing conditions and citizens' expectations, and build capacity to operate effectively in complex, interdependent networks of organizations and systems across the public, private and non-profit sectors to co-produce public value."²

Against this backdrop, the present government needs modernization. In other words, considerable measures are required to be taken in order to bring the government in sync with the call of FAST (Flatter, Agile, Streamlined and Tech-enabled) concept of governments. A government can become 'flatter' in four ways:

- i. Citizen engagement: Decreasing the engagement between government and citizens;
- ii. Administrative efficiency: Decreasing the hierarchies;
- iii. Decision making process; and
- iv. Intergovernmental and cross sectoral collaboration.

'Agility' and adaptability is an essential ingredient of effective government. 'Streamlined' government is achieved by reduction in size; and the workforce to meet these demands has to be 'tech-savvy' and 'tech-enabled'.

¹ *The Future of Government; Lessons Learned from all around the world*, World Economic Forum

² *Ibid*

Openness of government and accessibility to data are other ingredients of an innovative government. Right to information, transparency and accountability are the tools for furthering the openness of government. Governments of today need to be modernized. It requires moving out of traditional structure, rigid and inward-looking nature, and upgrading the competencies.

For us in India, reorganisation has mainly focused on trimming the government; which in itself, without being complemented by several other features stated above, is not an adequate measure of reorganisation. There are impediments, which include the cost and will to reorganize. The departments of the government are averse to giving up any element of their existing turf and authority in exchange for a more efficient and effective government. Reorganisation ought to be a 360 degree exercise.

Why Reorganize Government?

Reorganization is a means "...to rearrange elements of government's physical structure, functions, and accompanying resources. Thus reorganization encompasses moving an agency, its responsibilities, and staff from one department to another. It also encompasses combining agencies, creating a new department out of existing agencies, and giving an agency independent status by separating it from its department."³ In other words, it requires physical movement of agencies and programme of government, including consolidation and elimination. This also encompasses reorganising and sketching the HR system's design.

How the government is organized determines capacity of a government to discharge its functions efficiently. Reorganisation is needed to improve efficiency, enhance sharing of information, and reduction in public spending. It can also have the spin off effect of enhancing growth: "there is a link between governance and growth."⁴

Reorganisation of the government by its very nature has no boundaries, but it can broadly include the following:

1. "combine related programs from disparate governmental units to provide an organizational focus and accountability for carrying out high-priority public purposes,
2. help assure that information flows to the proper level of government for consideration and possible action,
3. change policy emphasis and assure that resources are more properly allocated to support high-priority activities, and
4. determine who controls and is accountable for certain governmental activities."

In essence reorganisation of government is driven primarily by growing aspirations of citizens for effective, efficient, responsive and ethical government. This can be effectively realized with the use emerging technologies like ICT. Information, communication and networking technologies are redefining the

³ Sistare, Hannah (2004) *Government Reorganisation: Strategies and Tools to get it done*. IBM Centre for Governance.

⁴ Second Administrative Reforms Commission (2009) Thirteenth Report.

relationship of government with citizens, businesses, civil society and media. The technologies are also playing an effective role in modern context in global integration, in connecting the globe which has played a salutary role in liberalization.

It is evident from the manner of government's operations in India that it is working in silos with a hierarchical structure, and with proliferation of Ministries and Departments. The working processes have impeded integration and coordination efforts. The process of reengineering and the overarching reorganisation of the government is a paramount need today.

It is clearly seen from the experience and *modus operandi* of reorganisation process that it cannot be given effect to without reengineering of the government. Any reorganisation of the government is predicated on a system that furthers and promotes coherence, accountability, responsiveness, fairness and integrity in the government. In essence, reorganisation means modernizing in terms of transformation of the government, getting it out of traditional structure, and rigid, inward-looking nature. This could be done by physically moving the government, using technology, and adopting new processes while amending the existing ones. Upgrading the competencies and transforming the work culture, by reducing or eliminating the risk-averse mindset of officials and reposing trust in them, are cardinal to reorganisation as well as important constituents of reorganisation.

Which functions Government should perform?

It is commonly seen that Government in developing countries performs diverse operations and functions, including welfare as well as commercial activities. Some of the functions are as diverse as running hotels, airlines, and tourist services. Is it essential that the government should perform such function? Classically, the government should mainly perform the core government functions and leave the rest to the market. But the market does not always produce the desired outcomes on account of market failure. In such a scenario, there is a case for government to intervene. Therefore, the government should intervene in cases of market failure or perform those tasks which entail provisioning of public goods, or where there are externalities, positive or negative, which cannot be taken care of or corrected by the market. Government's intervention in the economic sense is justified in areas of asymmetric information or where there is evidence of market power, such as monopoly, 'monopsony' or natural monopoly. Public purpose is another determining feature for the government to perform certain functions that are cardinal functions of the State, which fall in four broad areas:

- i. Public order, justice and rule of law.
- ii. Human development through access to good quality education and healthcare to every citizen.
- iii. Infrastructure and sustained natural resource development.
- iv. Social security, especially for the unorganized sector workers.⁵

⁵ Second Administrative Reforms Commission *op. cit.*

International Experience

Various governments all over the world have followed different models of reorganising their governments. For instance, in OECD countries, reorganisation has been based on citizen engagement, while in the USA it is based on openness of government in term of transparency and open data. On the other hand, reorganisation strategy followed by Singapore was that of emphasis on e-governance. Another notable example of reorganisation or metamorphosis of the government is that of the UAE, where a holistic model to reorganize the government, employing all the tools reforming the government have been adopted.

From the examples cited above it is obvious that diverse approaches have been followed by different governments. Tools and techniques adopted by various countries in this regard can be broadly categorized into the following generic models:

- i. **Reinventing Government:** This model represents a basic, 'paradigm shift' toward an 'entrepreneurial government'. Such governments promote competition between service providers and empower citizens by pushing control out of the bureaucracy, into the community.
- ii. **Re-engineering or BPR** "is the fundamental rethinking and radical redesign of business processes to achieve dramatic improvements in critical contemporary measures of performance, such as cost, quality, service, and speed". It is thus more inward-looking and gives greater attention to the role of Information Technology (IT).
- iii. **New Public Management (NPM)** is "shorthand for a group of administrative doctrines" and is part of the reform agenda of several OECD countries. This new paradigm of Public Management has eight characteristic 'trends' as follows:
 - a. strengthening steering functions (and not rowing); (ii) devolving authority, providing flexibility; (iii) ensuring performance, control, accountability; (iv) improving the management of human resources; (v) optimizing information technology; (vi) developing competition and choice; (vii) improving the quality of regulation; and (viii) providing responsive service.

Recommendations

In the Indian context, the focus of reorganisation action should be on implementing the epithet 'minimum governance, maximum government', propounded by the Prime Minister Mr. Narendra Modi. "Government has no business to do business", he has said. In order to achieve this objective, the government should only be performing core governmental functions, and the rest should be outsourced. The core activities of government could be listed as follows;

- (a) Public order, justice, equity and rule of law;
- (b) Human development through access to good quality education and healthcare to every citizen;

- (c) Infrastructure and sustained natural resource development; and
- (d) Social security, especially for the unorganized sector worker.

In outsourcing of tasks to the market, the economic logic of market failure is also pertinent. Economic rationale suggests that the government should intervene in cases of market failure only. In other words, where there is apparent or potential market failure, which is demonstrated by market power, asymmetric information and externalities (positive or negative), the state should intervene, and, preferably, perform those tasks itself. But this ought to be subjected to public choice theory that is underlined by the capacity of the State. On this premise the State has to determine the most appropriate and effective and efficient government intervention to deliver the solution and set right the market distortion or failure.

While there is no uniform formula or template for a successful reorganisation, the following lessons are relevant in the Indian context:

- a. Government should Intervene only in Areas where market failure on account of- Market power, Asymmetric Information, Externalities, Public Good.
- b. Social protection should be provided to the poor and marginalized sections.
- c. Agencification: Agencies should be carved out of government departments to carry out specific executive functions within a mandate and a framework of policy and resources provided by the concerned Ministry / Department.
- d. Decentralization, Delegation and Devolution: Follow the Principle of Subsidiarity (that is, matters ought to be handled by the smallest, lowest or least centralized competent authority; political decisions should be taken at a local level, as far as possible, rather than by a central authority). For this purpose, civil society and private sector should be involved in governance wherever they have an advantage in terms of effectiveness and efficiency.
- e. Recasting the allocation of business rules based on goals / outcomes.
- f. Bringing commensurate changes in the Business Transaction Rules to accelerate the pace of decision making system and immunizing the functionaries from unwanted scrutiny.
- g. Recasting of the Manual of Office Procedure (MOP).
- h. Effective coordination mechanisms.
- i. Statutory and independent regulatory agencies along with process simplification and Public-Private Partnerships.
- j. Strengthening accountability mechanisms, and promoting an ethical approach in governance institutions.
- k. e-Governance: For better delivery of government services to citizens and business.
- l. Citizen Empowerment: Participatory and more efficient governance, employing ICT.
- m. Performance Management System (PMS): Outcome-based and not input-based assessment of performance.
- n. Policy evaluation and Regulatory Impact Assessment (RIA).

- o. Benchmarking for continuous improvement.
- p. Use of governance indices (such as HDI).
- q. limiting consultation, both horizontal and vertical, to not more than three functionaries.
- r. Making the minutes of meetings implementable without further processing in a general manner, with suitable amendments to Transaction of Business Rules.
- s. Making budgetary exercise more meaningful by due delegation of financial autonomy to departments and field functionaries.
- t. Ministers to be made accountable before judiciary and law of contempt to be applied to them too, where decisions have been taken at the level of the Minister.
- u. Obsessive emphasis on checks and balances should go; trust and accountability to be brought back by delegation.
- v. Good officers should be protected for their *bona fide* decisions.
- w. Conduct all elections to constitutional bodies at national, state and local levels through a simultaneous process in order to avoid paralysis in governance on account of restrictions on decision making due to enforcement of model code of conduct.

Along with these suggestions, the recommendations of Second ARC too need to be implemented, since they spell out a clear reorganisation road map.

Implementation Modality

As literature survey reveals, there is no dearth of recommendations on reorganising the government in India, but most of them have not been implemented. From the very definition of the term reorganisation it is obvious that there is natural aversion in the government/departments/officials to reorganisation. Broadly the steps in the road forward can be enumerated as under:

- a. Be crystal clear about reorganization goals. The more concrete and policy-related the better.
- b. Be ready for the war within. Heads of organisations care deeply about their respective turfs and will, therefore, fight tooth and nail to defend them.
- c. Be ready, particularly, for the war on the Hill. Resistance is vehement, especially among lawmakers, whose power base is threatened as committee boundaries change.
- d. Enlist external allies and understand foes. Key trade organizations and interest groups, with a stake, must be identified and brought on board, to pre-empt opposition.
- e. Reorganization requires an organization. There is more to reorganization than its politics. It requires a skilled team to lead the initiative.

SYNDICATE PAPER 9

By, Ms. Alka Tiwari; Mr. Alok Nigam; Mr. Anil Chandra Punetha; Mr. Devender Singh; Mr. Devendra Kumar Tiwari; Mr. Dheera Khandelwal; Mr. Manu Kumar Srivastava; Mr. Ram Niwas Verma; Mr. Suresh Chandra Gupta; and Talleen Kumar.

Learnings from the Private Sector

Abstract

Government and the private sector are driven by different motives. But there is a lot that the government can learn from procedures and practices of the private sector in order to improve efficiency and ensure effective public service delivery. After listing the broad features of the private sector and the international experience, this paper presents a framework of its recommendation as well as a detailed implementation strategy.

Problem Statement

Government is process driven and profit is seldom a motive behind its actions and interventions. Its process centricity places limitations on its speed of response and on attainment of outcomes. Unlike the private sector, government is primarily driven by the welfare motive and, therefore, has a large and complex constraint set. Rigidity of laws, processes and regulations place severe limitations on its flexibility and adaptability. The organizational structure does not incentivize efficiency *per se* and hence resource efficiency is much lower in the Government compared to the private sector. Corruption is an issue by itself and severely impedes creation of value and attainment of outcomes. A proposal has to pass through several levels without firm time limits before it sees the light of the day. It slows down decision making. Every level plays it safe, with the result that it is very difficult to fix accountability when the desired outcome is not achieved. Government can be the only player in certain sectors without any competition. This results in inefficiencies and lack of customer satisfaction. Out of the box thinking and risk taking behavior is discouraged and precedents rule the roast. Lack of merit-based systems is another disincentive for stretching boundaries and pushing the envelope. Because of predetermined career path and other legacy issues, dead wood tend to remain in the government, which in turn propagates inefficiencies. Time bound promotion and lack of incentives inhibit 'investment' of time, energy and effort, contrary to what we see in the private sector.

Broad Features of Private Sector

The important organizational features of the private sector are:

- Matrix structure, as compared to pyramidal/hierarchical structure in Government;
- Devolved architecture, as opposed to centralized architecture in majority of Government systems;
- Merit-based recruitment, contractual working based on 'hire and fire' principle;
- Performance based promotions; and
- Objective system of rewards, incentives and punishment.

The Operational features of the private sector are:

- Customer centric, market driven operations;
- Competitiveness;
- Resource efficiency;
- Agile and speedy decision making;
- Outcome orientation;
- Focus on delivery and results rather than merely following set procedures;
- Focus on maximization of profit along with customer satisfaction;
- Choice of products and services; and
- Effective accountability mechanism;
- Innovation.

International Experience

The learnings from international experience, based on NPM, may be listed as follows:

- A series of civil service reforms have happened in UK and Australia;
- Focus is on economy, efficiency and effectiveness;
- A Government that believes in steering rather rowing;
- Exponential thinking rather than a linear one;
- Competitive Government – injecting competition into service delivery;
- Statutory framework for accountability in management;
- Greater flexibility and autonomy in the management of agencies / departments;
- Outcomes are important, not the processes;
- Entrepreneurial Government – not trapped by ‘legacies’;
- Decentralized and participatory Government;
- Market oriented Government;
- Extensive use of Information and Communication technologies (ICT) for extensive service delivery;
- Contestable policy formulation and implementation (politics without romance);
- Limiting number of departments and working through agencies with specific goals and outcomes;
- Rightsizing the government;
- Open recruitment by department for each post: qualifications, number of posts, and remuneration decided by each department;
- No time bound promotions;
- Full flexibility in finance / manpower: roll over budget, and outsourcing; and
- Outcome-based performance appraisal.

Framework for Recommendations

Where Government Must Exit

Areas / sectors / PSEs for exit: Examples, Air India, MTNL, and hotels, for strategic sale or disinvestments. These are best left to the private sector.

Where Market Failures Occur but State Capacity is Inadequate

This points the way for Public Private Partnership (PPP) with proper risk assessment allocation and well thought out concession agreement with clauses for exit and substitution of the private player along with a strong regulatory framework.

Where Government must Govern following the Principles of NPM

Focus should be on outcomes/results and rightsizing, along with autonomy and flexibility for agency heads/secretaries to Government for manpower selection, outsourcing, agency formation and outcome-based performance appraisal.

Recommendations

In Government, shareholders are the 'customers' or recipients of service and, therefore, the Government, like the private sector, needs to recognize this fact and work to full satisfaction of its citizens. Instead of working in silos and having a department-centric approach, the design and implementation of policies has to be integrated and aimed at attaining high satisfaction levels for the citizens. Systematic risk assessment has to be done during design and implementation of policies for their effective implementation and better price discovery during bidding etc. Government has to engage in actual work rather than be constrained by barriers, such as departments, designations, or functions. There is need to explore if the role of each functionary could be redefined, designations changed, and responsibilities apportioned and clarified among the existing workforce. Knowledge is a vital strategic resource for learning functions and objectives and in enabling an organization to adapt and introduce transformational innovations. The capacities of functionaries have to be upgraded through continuous training and learning.

In Government, we tend to reward activity 'A' while hoping for 'B' and the systems of rewards and punishments are not aligned with the outcomes. Lack of systematic economic analysis and risk assessment leads the Government into areas where it should not have entered in the first place. Private players through PPP projects can work in such areas, provided every detail is extensively worked out and they are allowed to exit under certain circumstances. Bold risk taking behavior is constrained and stifled by bureaucratic procedures and regulations. In identified areas carefully selected government functionaries should be placed to spearhead creative work in innovative organizations. Traditionally we have not paid adequate attention on end-to-end design of such projects which have led to problems (of the last mile type) and failures.

For the benefit of all stakeholders, government should set up call centres to take care of: (i) queries; (ii) complaints; and (iii) suggestions. Similarly, online single

window mechanisms, such as www.eBiz.gov.in should be utilized for: (i) clearances and approvals; and (ii) online payments. This will cut out avoidable physical interface with the government and bridge the gap between citizens and the government. Social media has transformed society, changing the speed at which information is shared across a community. This can also be leveraged increasingly to reduce the distance between citizens and government, leading to greater citizen satisfaction.

Procurement decisions in government should be taken on the basis of lower life cycle cost rather than selecting the L-1 bidder. This would ensure better quality of assets and equipment and will also lower overall costs to the economy. We have to encourage out-of-the-box and exponential thinking in Government. There should be freedom and flexibility to pull together people from different designations, roles, teams and who possess very specific skills for the task in order to constitute project-based teams. Government should be equipped to plan one step ahead of the changes, ensuring that when the business need is there, the right professionals would be there to take on the work. Proven organizational structures, which have delivered, need to be scaled up, automated, and assimilated for citizen delivery systems.

Implementation Strategy

Statutory framework for effective Governance

Legislation of Right to Delivery of Public services Act in each State with deemed clearances and service delivery through call centres/common service centres/mobile apps etc. could be the foundation of a responsive government. Further amendments in Prevention of Corruption Act [(as amended up to 2013); particularly Section (13 (1) (d) of PCA] and Section 6 of Delhi Special Police Establishment Act, (DSPEA), as amended up to 2014, will encourage the functionaries to take risks and speedy decisions.

Management by Objectives (MbO)

Robust Result Framework Document (RFD) mechanism with autonomy and flexibility in finance and HR, which adequately reflect concerns of other departments, would ensure that government is willing to adapt to the needs of the citizens.

Extensive Use of Information Technology for Swift Delivery of Citizen Centric Services and Grievance Redress

Single window clearance with statutory back up (eBiz portal: www.eBiz.gov.in), fast tracking implementation in a time-bound manner, strengthening digital connectivity, e-Governance through cloud & LAN for GoI and State Governments, and online approvals, clearances and payments, are some of the important initiatives for desired delivery of citizen services.

HR Practices in Government akin to Private Sector

Merit-based recruitment, merit-based promotion, rewards and punishments aligned with outcomes/results, capacity building at all levels with tangible skills

and domain knowledge and flexibility in retirement will make government more effective. Stability of tenure should be linked to outcomes as per CSB norms. A healthy, clean and hygienic work environment with IT-enabled architecture will improve the working capacity.

Pooling of Services with Benchmark Pricing for Collaborative Partnerships and Shared Economy

Government may consider replication of experiences of new private sector organizations like Uber, Oyo rooms, Airbnb (www.airbnb.com) etc., which resort to pooling and outsourcing of services, which are pre-certified.

Procurement policies

Changes in public procurement policy with focus on lifecycle costs rather than L1 will be cost efficient in the long run. Floor rates through expert committees could be fixed in selected strategic areas to prevent unrealistically low bids and consequent delays in project execution. Appropriate risk allocation and complete disclosure of relevant information for proper price discovery during bidding would have to be made. Scope for renegotiation, based on risk assessment, may be formalized allowing private sector to exit with suitable terms and conditions.

Making Choices Available to Citizens

Government should not be in areas where private sector can do a better job. The success of privatization depends not on the transfer of ownership from the public to the private sector, but on the extent to which the resulting set up is truly competitive. Private sector monopolies can be as bad as those in the public sector. Public sector entities that are exposed to competition can be more efficient than private sector firms with little competition.

Conclusion

Over time, Indian policy makers have shed their inhibitions about privatization and have formulated liberal reforms to divest the huge capital investment in PSUs and enhance efficiency and profit generation of the state owned enterprises. Many sectors wherein entry barriers were too high have been brought down in order to welcome investments from both domestic as well as international investors. Sectors which have showed tremendous success after privatization are insurance, banking, civil aviation, telecom, power etc. We have to carry on our journey on this path while adopting useful practices from the private sector for effective and efficient delivery of citizens' services. However, an open, transparent and competitive private sector with effective regulatory framework seems to be the best option for delivery of services to the citizens, and the synergy can work only when the government also works in an effective and efficient manner keeping the 'common man' at centre stage.

SYNDICATE PAPER 10

By, Arun Kumar Yadav; Dr. Basavaraju B.; Manoj Saunik; Pravir Krishna; Ranbir Singh; Rani Kumudani Ismal; Roshan Sunkaria; Sanjay Kumar; Siddharth Kishore Dev Verman; and Dr. Suresh Babu.

Protecting Civil Services from Unlawful Pressures

Abstract

This paper argues that an ecosystem of pressure and fear is stifling the initiatives of civil servants. The unlawful pressures on civil servants flow from various quarters and their manifestations too are multifarious. After listing some of the reform measures taken in the past, a set of administrative changes have been recommended.

Statement of the Problem

Good governance requires effective delivery of good schemes, and enforcement of good laws. The test of Good governance can only be from the citizens' perspective. The citizens' experience of good governance depends almost entirely on the quality of the delivery system.

The situation in India today is that the laws and schemes, generally speaking, are nobly conceived and are of good quality. The system responsible for delivery of these schemes and laws is, however, woefully inadequate and ineffectual. The result is that noble intentions and generously allocated funds do not translate into good governance. It amounts to gathering nectar in a sieve.

Since delivery belongs to the domain of civil servants, they, understandably, are targets of blame for failure in delivery. If, despite being selected through a rigorous process, the nation's cream fails in the field, it is a clear pointer, *inter alia*, to an ecosystem of pressure and fear stifling the initiatives of civil servants.

The crux of ensuring good governance then is this: How to protect civil services from unlawful pressures? More specifically, how to protect honest, competent and diligent officers from unlawful pressures and deal quick and exemplary punishment to rogue servants so that the delivery system remains clean and functional?

The relationship between the Minister and the Secretary is crucial. The balance between being responsive to the government of the day and at the same time ensuring reasonable independence from political ministers so that services can be delivered to the public without prejudice for reasons of politics, caste, creed etc. Too much of independence too can be as damaging as too little independence. There is, however, little chance of political consensus on protection of civil servants. On somewhat flimsy ground of efficiency, officers are being shunted out even in the Central Government. There is, therefore, a need to establish institutionalized measures, which are recognized by law, to ensure that officers, who stand up to illegal pressures, are not made to pay for it by way of victimization through abrupt and frequent transfers, false cases, denial of promotions etc.

Understanding the Pressures on Civil Servants

The unlawful pressures on civil servants flow from various quarters. These include the following:

- From democratically elected superiors, who issue unlawful orders – and almost always, orally;
- From political operatives: the ‘election-support-system’ to whom the political boss is beholden, which often include business interests;
- From superior officers who often play a your-head-first game;
- From half-baked or ill-baked schemes that provide scope for manipulation by unscrupulous contractors;
- From an incompetent and (often) politically vicious subordinate staff in the office; and
- From elements in the media, activists and others.

The manifestation of arm-twisting and harassment tactics practiced include the following:

- Abrupt and frequent transfers that disrupt children’s education and are also economically detrimental;
- Fabrication of false cases and activating a bad press to harass the officer;
- Handing down less important assignments meant to humiliate an officer in the eyes of his/her fellow officers; and
- Baseless demands in the State Legislature for ‘action’ against an officer, who is in no way guilty.

In a democracy civil services cannot be totally insulated against such pressures, but they can surely be protected from them to a fair extent.

Attempts at Reform in the Past

The Government of India has so far appointed two Administrative Reforms Commissions (ARC) and other committees, from time to time to inter alia to look into such matters. They have recommended a whole gamut of measures to make the civil services responsive and citizen friendly, transparent and accountable, promote their intellectual growth and skills development and protect the civil services against wrongful pressure of administrative superiors, political executives, business and other vested interests. The Supreme Court too in its order dated 31 October 2013 in *TS Subramanian and Ors. Versus Union of India and Ors.* [Writ Petition (Civil) Nos. 82 and 234 of 2011] has issued instructions to constitute Civil Services Boards at the Centre and all the States to regulate postings and transfers of officials. However, most of these recommendations have not been implemented and consequently the system continues to malfunction. As stated earlier, it is a classic case of collecting nectar in a sieve.

Recommendations

The domain of authority of the political and democratically elected supervisor and the civil servant must be clearly defined. Neither should encroach on the other’s domain. The Minister/democratically elected supervisor must have a role in design and finalization of the scheme. Thereafter, the delivery part must be entirely within the authority of the civil servant.

To protect civil services from unlawful pressures, the administrative changes required include the following:

- Decision-making process relating to tender processes and selection of the contractor/supplier need not be required go up to the Minister/political boss for approval;
- Decision making process relating to payments to contractors/suppliers need not be required go to the Minister/political boss for approval;
- Decision making process relating to action against defaulters (contractors/subordinates) need not be required go to the Minister/political boss for approval; and
- Once the scheme has been rolled out in a particular area, the Minister/political boss should have no authority to make alterations in it; in exceptional cases, though, the Cabinet may do so.

The civil servant should be empowered to select an advocate to represent the Government in a court of law. He should not be bound to depend solely on the formal legal support system.

The Departmental Inquiry process to take care of corrupt subordinates, starting from the decision to institute an inquiry and the process of award of punishment, must be free of political intervention. The authority to take decisions regarding action against unethical contractors and blacklisting them must also be free from political interference.

The tenure of the civil servant (as recommended by ARC) must be spelt out in the posting order itself and the process of removing him/her pre-maturely must be supported by recording the reasons in writing and approved by the departmental Minister/Chief Minister/Prime Minister and the Leader of the Opposition. Transfers of all subordinates are administrative matters; these must belong to the domain of the civil servant's authority. If a civil servant feels he has been transferred for wrong reasons, he should be allowed to approach the Administrative Tribunal. The working of the Tribunal must be reformed to ensure speedy justice to civil servants. If there is no *prima facie* case for the propose pre-mature transfer, the Tribunal must have authority to stay it.

The practice of appointing persons picked from the open market, who do not belong to any service at all, as Secretary/Principal Secretary is gaining fast currency. This must stop.

There should be a difference drawn between a *bona fide* decision of a civil servant going awry and a *mala fide* decision taken by him for reasons other than the merit of the case. There should be no punishment for the first type. This would encourage civil servants from taking bold decisions based on a reasonable and calculated risk perception. For *mala fide* decisions and for corruption, there should be severe and exemplary punishment. The process of inquiry and punishment must be expeditious in the interest of justice. In the event of an officer found guilty of malpractice under illegal pressure, equally stringent action must be taken or initiated against the Minister concerned, if the decision has been taken with his approval.

Currently there is no punishment for inaction. The circumstances of service tend to push civil servants to inaction, which is considered as the safest path to follow.

This needs to be discouraged. Inaction must be punished suitably so that an officer is under pressure to take positive action.

Many civil servants come up with brilliant ideas and interventions that have a major bearing on public welfare, poverty alleviation, social justice etc. Such officers must be retained on the same post for as long as required. Subjecting them to routine transfers often kills the initiative/intervention before it has taken root. On the other hand, an officer must be made to submit an action plan as to how he/she proposes to carry forward a good initiative/intervention begun by an earlier officer.

Investigating agencies should be barred from taking *suo motu* actions, such as raids on residences, registration of cases etc. against senior officials, which often done on the directions of the political masters in power.

Implementation Strategy

The implementation strategy for the above recommendations could be along the following lines:

- (i) The above recommendations could be forwarded by the LBSNAA to the Department of Administrative Reforms and Public Grievances (DARPG) for appropriate action.
- (ii) It is generally found that the State Governments do not give adequate importance to implementation of ARC's recommendations. This requires re-engineering. A minimum percentage of ARC's recommendations must be binding on the Central and the State Governments.
- (iii) LBSNAA may also like to forward the recommendations to NITI Ayog, which could flesh out the recommendations and design a Civil Services Reforms Agenda for Good Governance. As in case of JNNURM, the States should be incentivized with Additional Central Assistance (ACA) to implement the reforms agenda.
- (iv) The Centre can also use the lever of allocation of AIS service officers to a State based upon their implementation of the Civil Services Reforms Agenda for Good Governance.
- (v) It is important to arrive at political consensus for the proposed reforms agenda for good governance. This is easier said than done. However, since development and good governance have become an election-winning-plank, the political atmosphere appears to be conducive now to launch such a reforms agenda for good governance.

The time to act is now. We know what needs to be done. The nectar should not be allowed to filter down through the sieve.

Subscriptions

The Administrator is published quarterly; with issues in January, April, July, and October.

Subscription orders can be placed with the Training Research & Publication Cell (TRPC) as per the contact details given below:

E mail: trdc.lbsnaa@nic.in **Phone:** 0135- 222-2324

The subscription rates are single copy purchase as:

- (i) Individual- Rs. 150.00 per copy
- (ii) Institutional- Rs. 300.00 per copy

Annual Subscription Rates:

- (i) Individual- Rs. 500.00
- (ii) Institutional- Rs. 1,000.00

Contributions

The Administrator provides a forum for civil servants and academics who have applied themselves to issues pertaining to areas of public administration, public policy, etc.

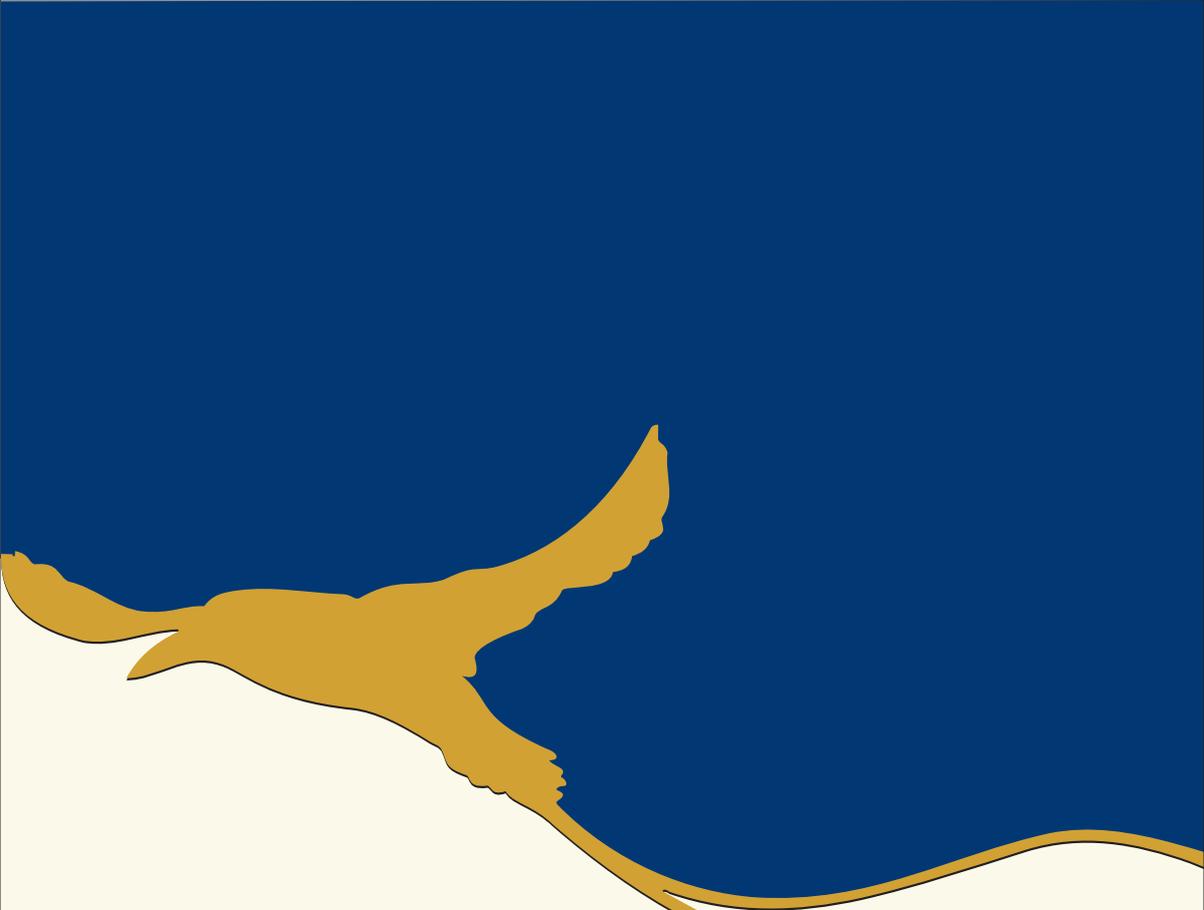
Contribution in the form of articles/ book reviews can be sent as per the contact details given below:

TRPC

E mail: trdc.lbsnaa@nic.in **Phone:** 0135- 222-2324

Please follow the font, spacing, citation, reference, etc. as per the style sheet.

This style sheet can be accessed at website: www.lbsnaa.gov.in under the heading publications.



CONTENTS

Case Study- Poorest of Poor	01
Introduction by Dr. Mononita Kundu Das	02
• Poorest of Poor Family	
• Goguloth Raju and his tea shop	07
• Udaram Bawari the traditional Rajasthani footwear maker	10
• V. Nancharaiah and his family of agricultural labourers	12
• Munni Devi belonging to the community of 'bhunji' makers	15
• Janaiah and his masonry skills	19
• Madhavi & Shyamala the daily wage labourers	22
• Muthulakshmi the 'beedi' roller	26
• Than kamani the 'shell' collector	28
• Ramesh Soma Dhadvi and seasonal employment	30
• Harjeet and the practice of primitive agriculture	32
• Satto Malik the manual labour	35
Good Governance and Challenges	39
Introduction by Dr. Vivek K. Agnihotri	40
• Mid-Career Training Programmes (MCTP) for IAS Officers	
• Political Economy of Civil Service Reform: Making Civil Services Ethical, Responsive and Transparent.	53
• Recruitment to Higher Civil Services	57
• Capacity Building of IAS Officers: Incentivizing Intellectual Growth	61
• Mid-Career Domain Specialization	67
• Performance Appraisal	73
• Empanelment and Promotions	78
• Lateral Entry into Civil Services	82
• Reorganizing Government	86
• Learnings from the Private Sector	92
• Protecting Civil Services from Unlawful Pressures	97