



Pathways for an Inclusive Indian Administration (PIIA)

Ministry of Personnel, Public Grievances and Pensions (MoP),
Government of India
United Nations Development Programme (UNDP), India



Empowered lives.
Resilient nations.

1. Situation Analysis

India's public administration is the largest bureaucracy system in the world with about 18 million (2005) employees, including all levels of government and quasi government entities¹. The administrative civil services include the All India Services and the State Civil Services in each federal State. The over 5000 officers of the Indian Administrative Service (IAS) play a major role in managing the bureaucracy at the Union Government and State Government levels. About two thirds are recruited directly by the Union Government and one third is promoted from the State Services.

With the bureaucracy being to a large extent an inheritance from the British colonial times, administrative reform has not been able to keep pace with the rapid development of the country and is under tremendous political pressure and influence. A survey of business executives across Asia has shown that the Indian bureaucracy is perceived as a major stumbling block for investors². While India's high growth rate defies much of the criticism and continues to be high, the Government's *Inclusive Growth* agenda is not resulting in the desired distribution of growth benefits. Social indicators on health, nutrition³, sanitation, gender equality, and quality of education are either stagnant or moving very slowly. A large number of marginalized and disadvantaged people have either not gained from development or, in many cases, have actually been harmed by the process.⁴

Weak governance, manifesting itself in poor service delivery, a lack of leadership, and uncoordinated and wasteful public expenditure, are the key factors impinging on development and social indicators⁵. In 2009 the Second Administrative Reforms Commission (ARC) found that the "State apparatus is generally perceived to be largely inefficient, with many functionaries playing a passive (and safe) role" (13th Report, 2009, p.5). The ineffectiveness, slow speed and poor quality of service delivery in many areas could be tackled if leadership at mid- and upper level of administration was willing and capable to take an integrated view, encourage innovation and transform systems to effect change at the outcome level.

Monitoring and evaluation of programmes and activities has a direct bearing on improving the delivery system and the efficacy of public administration. The general perception is that, in the absence of adequate monitoring, there is a considerable amount of wastage and leakage leading to a

¹ See: Bibek Debroy (2009): Indian Bureaucracy - Dismantling the Steel Frame. ISAS Insights: No. 44. Singapore. Available at www.isn.ethz.ch/isn/Digital-Library/Publications/Detail/?ots591=0c54e3b3-1e9c-be1e-2c24-a6a8c7060233&lng=en&id=95358 (accessed on 14-06-2011)

² The report by a Hong Kong based consultancy which had surveyed business executives across Asia was quote by the BBC in 2010. See www.bbc.co.uk/news/10227680 (accessed 03-05-2011)

³ "The Global Hunger Index 2008 [...] reveals India's continued lackluster performance at eradicating hunger; India ranks 66th out of the 88 developing countries and countries in transition for which the index has been calculated" (IFPRI 2008: The India State Hunger Index: Comparisons Of Hunger Across States, page 1. Available at: www.ifpri.org/sites/default/files/pubs/pubs/cp/ishi08.pdf).

⁴ See: NC Saxena 2010: The Economic Times: Policies must cater to socially excluded groups (14-11-2010). Available at <http://economictimes.indiatimes.com/features/special-report/policies-must-cater-to-socially-excluded-groups/articleshow/6922434.cms> and Mint: For a better-governed India - Fault lines between bureaucracy and government have hampered progress on Millennium Development Goals (16-02-2010) at <http://www.livemint.com/2010/02/16214749/For-a-bettergoverned-India.html?d=1>

⁵ See NC Saxena (2010): Mint: For a better-governed India (see above)

less than optimal use of the resources deployed in the development process. Existing monitoring and evaluation mechanisms have so far not been used adequately by the implementing agencies nor has there been much effort to improve and strengthen these mechanisms over time.

At present civil servants at all levels spend a great deal of time in collecting and submitting information, but this data is rarely analysed and used to take corrective and remedial action, but rather fed into reports and to a higher levels of government, or for answering Parliament/ Assembly questions. Often performance data is outdated, or not available district-wise, with the result that accountability cannot be enforced. For instance, no figures are available at district-level to describe changes in poverty rates, even over a five year period. The availability of timely and accurate data for each district would allow for outcome monitoring and would enable citizens to hold duty-bearers accountable.

Equally, State governments do not discourage reporting of inflated figures from the districts, which again renders monitoring ineffective. As data is often not verified or collected through independent sources, no action is taken against false reporting. Most managers would not be prepared to accept the reality of poor service delivery in their files, lest they and their Ministers would be taken to task in the Parliament/Assemblies. This vested interest in hiding reality **leads to “bogus”** reporting.

When the Sarkaria Commission stated in 1988 that civil servants **“have to assist the elected government in policy formulation and implementation”** and that **“there has to be close rapport and mutual trust between the Ministers and civil servants”** (Sarkaria Commission Report, Chapter 8.1.02) it pointed to an important relationship between the executive and the legislative that is threatened by an imbalance toward political and partisan influence. Unbiased feed-back from the implementer to the policy-maker requires a space for learning, open debate and effective M&E systems that rarely exist. Divisions among line Ministries/Departments as well as internal communication barriers further complicate matters and stand in the way of consultation, convergence and integrated outcome-based policy-making, planning and management.

The ARC goes on to report that “the bureaucracy is generally seen to be tardy, inefficient, and unresponsive. Corruption is all-pervasive, eating into the vitals of our system, undermining economic growth, distorting competition, and disproportionately hurting the poor and marginalized citizens. [...] In general, there is high degree of volatility in society on account of poor implementation of laws and programmes and poor delivery of public services leading to unfulfilled expectations” (13th Report, 2009, p.5). Civil servants are often indulging in corrupt practices on behalf of their superiors or powerful politicians, succumbing to pressure and threats of disciplinary action or transfer to an undesirable duty station⁶. The influence of political power structures, patronage and discretion given to decision makers in managing civil servants is standing in the way of a transparent and accountable administration. Recent campaigns and agitations of civil society and political opinion makers⁷ have brought the issue of corruption to the centre stage of politics. The Government of India has recently completed⁸ the ratification of the UN Convention Against Corruption (UNCAC) and is working on an Ombudsman (Lok Pal) Bill – a process that has taken centre stage of politics

While the Right to Information Act is widely considered a great success in making administration more transparent, the internal integrity frameworks of the civil service are unable to curb malpractice: *“A common reason usually cited for inefficiency in governance is the inability within the system to hold the Civil Services accountable for their actions. Seldom are disciplinary proceedings initiated against delinquent government servants and imposition of penalties is even more rare. This is primarily because at most levels authority is divorced from accountability leading to a system of realistic and plausible alibis.*

⁶ See West Bengal ATI (2005): Criminalisation and Accountability of Indian Bureaucracy. Page 41. Available at: www.atiwb.gov.in/READINGS%20IN%20%20PUBLIC%20ADMINISTRATION-I.pdf

⁷ i.e. protests and hunger strikes centered around the drafting of the Lok Pal (Ombudsman) Bill, building on the momentum of well-publicized corruption scandals (e.g. 2G Telecommunications Scam and the 2010 Commonwealth Games) and the arrest of high profile politicians and Government officials in that context.

⁸ See PIB Website: <http://pib.nic.in/newsite/erelease.aspx?relid=72116> (accessed on 14-06-2011)

Cumbersome disciplinary procedures have added to the general apathy towards discipline in Government. Moreover the safeguards provided to civil servants, - which were well intentioned – have often been misused. Another reason for lack of accountability is that performance evaluation systems within government have not been effectively structured. The complacency that the system breeds has resulted in employees adopting an apathetic or lackadaisical attitude towards citizens and their grievances.” (12th Report, 2009, p. 15).

Beyond the civil service system, there are issues related to the organizational structures and functions of public institutions which can impede on performance. In its 12th report the ARC pointed out that *“while the laws made by the Legislature may be sound and relevant, very often they are not properly implemented by government functionaries. The institutional structure provided at times may be also weak and ill-conceived and thus has neither the capacity nor the resources to implement the laws in letter and spirit. [...] Inadequate capacity building of personnel who are to implement the laws also results in policies and laws not being implemented properly. Further, lack of awareness about rights and duties and callous approach to compliance to laws on the part of some of the citizens also create barriers to good governance” (12th Report, 2009, p. 14).*

The ARC goes on to state that *“there is a growing concern that the Civil Services and administration in general, have become wooden, inflexible, self-perpetuating and inward looking. Consequently, their attitude is one of indifference and insensitivity to the needs of citizens. This, coupled with the enormous asymmetry in the wielding of power at all levels, has further aggravated the situation. The end result is that officers perceive themselves as dispensing favours to citizens rather than serving them and given the abject poverty, illiteracy, etc. a culture of exaggerated deference to authority has become the norm” (12th Report, 2009, p. 14-15).* Under such circumstances the administrative system fails to facilitate the inclusion of marginalised sections of society, which are not empowered enough to demand services that are due to them. Remote or conflict-affected areas are often underserved due to a lack of personnel (i.e. unfilled positions, non-attendance), security issues, and lacking capacity or willingness to reach out to those most in need.

Constant changes in the role of the Government, a rapidly changing policy environment and rising aspirations of the people demand reforms and improvements in efficiency and effectiveness of public administration. Since independence the Government has sought expert feedback and has constituted a large number of commissions to report on the systemic and institutional capacity of the civil service and public administration. Milestone studies and reports were produced by the following commissions and committees:

- 1949: Report on Reorganisation of the Machinery of Government (1949) by Mr. Goplaswami Ayyangar
Recommended that the Central Ministries be merged into Bureaus
- 1950: A.D. Gorwala Committee Report on Public Administration (Planning Commission)
- **1956 and '57:** Paul H. Appleby Reports⁹ (two reports on Indian Administration):
The Organisation and Methods (O&M) Division and the Indian Institute of Public Administration (IIPA) were set up as a result of the recommendations
- 1962: Committee on Prevention of Corruption (K. Santhanam):
Central Bureau of Investigation set up in 1963, Prevention of Corruption Act (1947) was amended in 1964 and Central Vigilance Commission set up
- 1963: Department of Administrative Reforms set up within the Home Ministry,
O&M Division transferred from the Cabinet Secretariat
- 1966: First Administrative Reforms Commission (ARC):
20 study teams, 13 working groups and 1 Task Force. 20 Reports making a total of 581 recommendations between 1966-'70

⁹ Paul H. Appleby (1956): **Re-examination of India's Administrative System with Special Reference to Administration of Government's Industrial and Commercial Enterprises (Cabinet Secretariat, GoI) and (1957): Public Administration in India: Report of a Survey (Cabinet Secretariat, GoI);**

- 1970: Department of Personnel created in the Cabinet Secretariat
- 1973: Department of Administrative Reforms was shifted to this new Department under the Cabinet Secretariat and re-named as the Department of Personnel and Administrative Reforms
- 1976: Committee on Recruitment Policy and Selection Methods (D.S. Kothari)
- 1983: Commission on Centre-State Relations (Sarkaria)
- 1984: Department of Personnel and Administrative Reforms was placed under the independent charge of a Minister of State, under overall charge of the Prime Minister
- 1985: Department of Personnel and Administrative Reforms elevated to the status of a Ministry: the Ministry of Personnel, Administrative Reforms, Public Grievances and Pensions¹⁰.
- 1986: Fourth Central Pay Commission Report
- 1989: Committee to Review the Scheme of the Civil Services Examination (Satish Chandra)
- 1981: Economic Administration Reforms Commission
- 1993: Fifth Pay Commission
- 2002: Surinder Nath Committee: Report¹¹ provides recommendations regarding performance appraisal systems, promotions and lateral movement of the All India Services and other Group A services
- 2004: P.C. Hota Committee on Civil Services Reforms: Recommendations for the All India Services
- 2005: Second Administrative Reforms Commission¹²
Completed 15 reports on 13 subject areas by the end of its term in April 2009.

The above commissions and committees have gone into the subject, suggested various measures and thereby initiated Governance, Administrative and Civil Service reforms. The 2nd Administrative Reforms Commission was constituted with the objective of preparing a detailed blueprint for revamping the public administration system and to suggest measures to achieve a pro-active, responsive, accountable, sustainable and efficient administration for the country at all levels of government¹³. Following the review process undertaken by the Core Group on Administrative Reforms (CGAR) under the leadership of the Cabinet Secretary, the Group of Ministers (GoM) has accepted 1005 out of 1251 recommendations to date¹⁴. The reports by the 2nd ARC and other Commissions (here Surinder Nath 2002, P C Hota 2004) recommended among other measures:

- Shifting focus from a departmental approach towards convergence among ministries and departments in the implementation of schemes and policy coherence;
- A citizen-centric and outcome-oriented administration, requiring service-orientation of front-line staff, etc.;
- Changes in Personnel Management (incl. Recruitment, HR Development, Management, Performance Appraisal & Promotion);
- Capacity development to fill capacity gaps in the mid and lower levels of the civil service (i.e. Class II and Class III officers).

The Annual Conference of Secretaries of Administrative Reforms in 2010 recognised the “need for an outcome-oriented civil **service**” and in 2009 the Cabinet Secretariat put in place a sophisticated

¹⁰ The MoP has three departments: Department of Personnel and Training (DoPT), Department of Administrative Reforms and Public Grievance (DARPG) and Department of Pension and Pensioner’s Welfare

¹¹ Available at: <http://persmin.nic.in/Publication/CommitteeReport/ACRReport/contents.htm> (accessed 12-05-2011)

¹² Website Second Administrative Reforms Commission: <http://arc.gov.in/>

¹³ Its Terms of Reference included: the Review of the Organisational Structure of the Government of India; Ethics in Governance; Refurbishing of Personnel Administration; Strengthening of Financial Management Systems; Steps to ensure effective administration at the State level; Steps to ensure effective District Administration; Local Self-Government/Panchayati Raj Institutions; Social Capital, Trust and participative service delivery; Citizen Centric Administration; Promoting e-governance; Issues of Federal Polity; Crisis Management; and Public Order.

¹⁴ Presentation of DARPG made before UNDP at Sardar Patel Bhawan (New Delhi) on 14 June 2011.

performance monitoring and evaluation system¹⁵ comprising of Departmental Strategies and Results-Framework Documents (RFDs) in an effort to move towards an outcome orientation.

Recent Initiatives for Administrative Reform¹⁶

In an attempt to gain an understanding of the perceptions of civil servants on recent reform initiatives (incl. a new Performance Appraisal System), the Department of Administrative Reforms and Public Grievances (DARPG) carried out a Perception Survey of Civil Servants (2010). It collected feedback on Gol policy, indicating that the main concerns of bureaucrats relate to postings and transfers, performance appraisal, opportunities for deputation, political interference and timely promotions. Most of these issues are immediately relevant to the Ministry with its mandate in human resource management and would require change both in policy and practice.

To motivate and inspire the Ministry has begun in 2005-2006 to award Central & State Government civil servants with the *Prime Minister's Awards for excellence in Public Administration* for outstanding and exemplary performance. The focus of these awards is on innovations which have led to quantitative/qualitative outcomes benefiting large number of citizens. Both the Government and NGOs/Think Tanks/Media Houses have also established a number of eGovernance awards (e.g. National e-Governance Award, SKOTCH ICT for India, eINDIA Awards) and a variety of other awards exist which recognise high performers in their respective cadres.

In recent years India has legally recognised a number of basic rights such as the right to information, to employment and to education¹⁷. Through the employment-guarantee legislation, NREGA, rural households are guaranteed 100 days of employment a year. Another important legislation in this regard is the Scheduled Tribes and Other Traditional Forest Dwellers (Recognition of Forest Rights) Act which was fully notified in 2008. It recognises and secures the rights of these communities and individuals over disputed land, their settlements, as well as the protection, regeneration, conservation and management of forest resources. These acts and related programmes came about as a result from considerable civil society and Supreme Court pressure to act on governance and poverty. A Right to Food legislation is being proposed by the current government¹⁸ responding to a strong campaign¹⁹ by civil society and an earlier commitment made by India under the in the International Covenant on Economic, Social and Cultural Rights (Article 11, Part 2) ratified by the Parliament in 1979. Rights-based legislation calls for enhanced service delivery through a more responsive and accountable public administration.

Following a 1997 Conference chaired by the Prime Minister and attended by Chief Ministers from various States, an *Action Plan for Effective and Responsive Government* was adopted at the Centre and

¹⁵ See outline of the “Performance Monitoring and Evaluation System for Government Departments” (2009) at [http://performance.gov.in/RFD/PMO%20Order%20on%20Performance%20M&E%20System%20\(Not%20for%20Distribution\).pdf](http://performance.gov.in/RFD/PMO%20Order%20on%20Performance%20M&E%20System%20(Not%20for%20Distribution).pdf) and the website of the Cabinet Secretariat at <http://performance.gov.in/> (accessed on 16-06-2011)

¹⁶ For the purpose of this Project Brief the term “Public Administration” refers to “the aggregate machinery (policies, rules, procedures, systems, organizational structures, personnel, etc.) funded by the [government] budget and in charge of the management and direction of the affairs of the executive [...], and its (their) interaction with other stakeholders in [government], society and external environment at national and sub-national levels, and (2) The management and implementation of the whole set of [...] government activities dealing with the implementation of laws, regulations and decisions of the government(s) and the management related to the provision of public services at national and sub-national levels” (UNDP Practice Note on Public Administration Reform, 2003).

¹⁷ Right of Children to Free and Compulsory Education Act - Right to Education (RTE)

¹⁸ See Press Information Bureau (PIB) 13-06-2001: Union Minister for Labour & Employment Mallikarjun Kharge’s address to the International Labour Conference 100th Session <http://pib.nic.in/newsite/erelease.aspx?relid=72655> (accessed on 20-06-2011)

¹⁹ See The Right to Food Campaign in India. In: Lessons Learned From Rights-Based Approaches in the Asia-Pacific Region. UNDP and OHCHR 2005. Pages 111-138. Available at http://hrbaportal.org/wp-content/files/1233222888_8_1_1_resfile.pdf

State levels. Taking the initiative of developing service deliver Citizens' **Charters** further, a few State Governments have taken **steps to guarantee quality service delivery to citizens by introducing "right-to-service" legislation.** The Government of Madhya Pradesh has passed a Public Services Guarantee Bill²⁰ in 2010 with other States such as Bihar²¹, Delhi²², Jammu & Kashmir²³ and Punjab²⁴ following its footsteps. A common feature of these acts/bills/ordinances is the definition of legal consequences for duty bearers if selected services are not delivered within a stipulated timeframe and of penalties and/or compensation for service delays. The success of these measures depends on the capacity of the delivery entities which are – more often than not – lacking capacity. These legislations therefore represent important and useful push factors and accountability frameworks, but need to be accompanied by capacity development measures – as seen in the *Sevottam* model (see following paragraph).

Using studies undertaken during the implementation of the World Bank funded *Capacity Building for Good Governance Project*, the DARPG has developed a quality management framework titled *Sevottam* which can be applied to the activities of public service delivery organisations with the aim to achieve sustainable service improvements. The *Sevottam* model²⁵ **comprises of a Citizens' Charter** (Empowerment), Service Delivery Capability (Capacity Enhancement) and Grievance Redressal (Satisfaction) is being promoted through pilots in Central and State Government departments. DARPG promotes²⁶ the adoption of the model by State and Local Government entities and has established two training centres at the Himachal Pradesh Institute of Public Administration and the Karnataka ATI. Another example was Kerala's "Modernizing Government Programme"²⁷ with its "Sevana Mudra" (Service Mark) initiative that aligned investments in infrastructure and capacity development with service improvements of institutions and individuals.

As mentioned in the Situation Analysis above, the Gol has come under considerable pressure from civil society and the media to address corruption within the bureaucracy. The recent ratification of the UN Convention Against Corruption (UNCAC), an incoming Ombudsman (Lok Pal) Bill, and continued pressure to fully implement the Right to Information Act. This presents a challenge and opportunity to the Government to reform the Civil Service and systems and procedures that guide the workings of public administration. In many States, Ombudsmen (Lok Ayuktas) with statutory authority have been appointed to tackle corruption, but while they are able to investigate and conduct raids, they do not have the powers to summon or initiate proceedings against members of the judicial service, the Central Services, the All India Services or the State Civil Services²⁸. Recent Government initiatives include an effort to **push for the implementation of the Right to Information (RTI) Act's provision**²⁹ for proactive disclosure through detailed guidelines with potential impact on fund releases and appraisal criteria for civil servants³⁰.

²⁰ See www.indiagovernance.gov.in/download.php?filename=files/righttoservice.pdf (accessed on 16-06-2011)

²¹ Right to Service Bill (2011), passed by the Bihar Assembly on 27-03-2011

²² Right of Citizen to Time Bound Delivery of Services Act (2011), passed by the Delhi Assembly on 28-03-2011

²³ Public Service Guarantee Bill (2011), passed by the Legislative Assembly on 25-03-2011

²⁴ Right to Service Ordinance (2011), approved by the Punjab Cabinet on 07-06-2011.

²⁵ See www.darpg.nic.in/darpgwebsite/cms/Document/file/Sevottam_Brochure.pdf for details and www.darpg.nic.in/darpgwebsite/cms/document/file/cbpr/pdf-files/12_QMS_Concept%20Note.pdf for a background on the initiative.

²⁶ Municipal Corporation, Shimla (HP) and Department of Women & Child Development (Karnataka) have been completed, Department of Public Health & Family Welfare (MP) and Department of Public Distribution & Consumer Affairs (OR) are ongoing as per 14 June 2011.

²⁷ See ADB (2007): Project Completion Report for details. Available at www.adb.org/Documents/PCRs/IND/31328-IND-PCR.pdf (accessed on 06-07-2011)

²⁸ See [Hindustan Times \(23-11-2010\): Lokayukta has no power to summon IAS officers: HC. Available at: www.hindustantimes.com/Lokayukta-has-no-power-to-summon-IAS-officers-HC/Article1-629737.aspx](http://Hindustan Times (23-11-2010): Lokayukta has no power to summon IAS officers: HC. Available at: www.hindustantimes.com/Lokayukta-has-no-power-to-summon-IAS-officers-HC/Article1-629737.aspx) (accessed on 28-06-2011).

²⁹ Section 4 of the RTI Act (2005)

³⁰ A task force to assess options was constituted in May 2011. See Hindustan Times: "Bureaucracy to get more transparent, soon" (12-06-2011). See www.hindustantimes.com/Bureaucracy-to-get-more-transparent-soon/Article1-708690.aspx (accessed on 14-06-2011)

As a key element in the existing accountability framework, the Performance Appraisal System has been reviewed by the Surinder Nath Committee (2002) and revised rules for the All India Services have been issued in 2007 taking into account the recommendations³¹. Within these the reporting guidelines state that the reports “should be used as a tool for career planning and training, rather than a mere judgmental exercise”. The larger accountability framework – which would include incentives and punitive measures – has remained relatively steady with the exception of the abovementioned right to service and right to information acts.

The fourth report of the 2nd Administrative Reforms Commission, titled *Ethics in Governance*, describes in detail the existing ethical and institutional frameworks, the legal framework for fighting corruption, the social infrastructure, and systemic reforms with their respective shortcomings. Among the issues covered, the ARC has assessed whether there should be a Code of Ethics and Code of Conduct³². Presently the *Conduct Rules* of 1964 with subsequent notifications under the *Fundamental Rules and the Civil Service Regulations* are the applicable set of enforceable norms. A *Civil Services Performance Standards and Accountability Bill* is currently being developed as a new legal framework, based on previous iterations of the draft Public Services Bill (2007). “The bill is the “first attempt to enact a comprehensive law to regulate the civil services, lay down the code of ethics for the bureaucracy and create an overarching national authority to manage the civil services including their appointment, performance, and tenure of civil servants”³³.

Recent Initiatives for Capacity Development of Civil Servants

In the 2010 draft for a National Training Policy, the Department for Personnel and Training (DoPT) acknowledges that “systematic training of civil servants has continued to be mainly [aimed at] the higher civil services with a large number of [lower level] employees receiving sporadic training, if any at all.”³⁴ The lack of sustained capacity development for individuals which could build a set of core competencies that is responsive to the current job description and prepares officers/staff for future roles is a great handicap for the civil service. The Training Policy has recognized the need for a “strategic human resource management system, which would look at the individual as a vital resource to be valued, motivated, developed and enabled to achieve the Ministry/ Department/Organisation’s mission and objectives”³⁵. A key component in the draft policy is the concept of a Competency Framework which would comprise of a set of core skills³⁶ (functional capacities) and professional/specialized skills (technical capacities) which would help to match an officer’s/staff’s profile with a fitting post³⁷. Currently training is provided in view of the functions/duties that are to be performed in a particular post – ignoring the competencies required. A review and profiling is envisaged to define distinct

³¹ All India Services (Performance Appraisal Report) Rules, available at [www.persmin.nic.in/EmployeesCorner/Acts_Rules/AIS\(PAR\)/IAS\(PAR\)_Rules.pdf](http://www.persmin.nic.in/EmployeesCorner/Acts_Rules/AIS(PAR)/IAS(PAR)_Rules.pdf) (accessed on 20-06-2011)

³² A “code of ethics would cover broad guiding principles of good behaviour and governance while a more specific code of conduct should, in a precise and unambiguous manner, stipulate a list of acceptable and unacceptable behaviour and action” (4th Report of the 2nd ARC (2007), page 21).

³³ Hindustan Times 07-06-2010: Pending for 3 yrs, Civil Service law gets a push. Available at: www.hindustantimes.com/Pending-for-3-yrs-Civil-Service-law-gets-a-push/Article1-554520.aspx (accessed on 20-06-2011)

³⁴ Draft National Training Policy (2010), available on DoPT Website: www.persmin.nic.in/otraining/index.asp (accessed on 14-06-2011), page 1

³⁵ *ibid*

³⁶ i.e. leadership, financial management, people management, information technology, project management and communication (see *ibid* page 2)

³⁷ In its Capacity Development Approach UNDP distinguishes between core functional capacities and technical capacities. Within a range of functional capacities UNDP has identified five key clusters of all-purpose skills: (1) engaging stakeholders, (2) assessing a situation and defining a vision, (3) formulating policies and strategies, (4) budgeting, managing and implementing and (5) reviewing and evaluating results (e.g. outputs, outcomes, impacts). Technical capacities help guide development outcomes and are associated to the area of expertise and practice.

types of posts. A shift from current training practices to a competency-based capacity development approach would require drastic changes to Human Resource Management and Development at all levels³⁸ of Government.

The institutions involved in human resources management and development face tremendous challenges posed by the numbers and the territory that they have to cover. The National Academy of Administration and the Administrative Training Institutes across the country are understaffed, lack the quality and innovation and the incentive mechanisms that would be required to build excellence within the civil service. This is mainly due to structural issues and political influencing which has in **some States turned positions at the helm of the institutions into “punishment postings”, sidelining politically unaligned public servants.** While some training institutions have been able to turn **themselves into “models of excellence in training” or “repositories of expertise”**³⁹ others are held back, lacking an enabling environment and institutional capacity.

Notwithstanding their capacity gaps, the Administrative Training Institutes (ATIs) remain the first option as providers of capacity development services⁴⁰. Based on lessons learnt from the UNDP-funded *Strengthening of State ATIs* Project, DoPT was encouraged by the Planning Commission to develop a model for large-scale training of frontline service delivery personnel to achieve the objectives of the National Training Policy. After first encouraging States to develop models for large scale training on their own, the DoPT was able to roll-out a follow-up initiative using bilateral funding⁴¹. **Today’s Intensive Training Programme** replicates the model that had brought lessons from all districts. It targets knowledge, skills and attitude of staff involved in frontline service delivery and proposes a mass district-wise training campaign under the leadership of the State ATIs.

Against this backdrop, the Ministry of Personnel, Public Grievances and Pensions, Government of India and the United Nations Development Programme have agreed to collaborate in a Capacity Development project which aims to strengthen public administration.

2. Rationale

The UNDP Strategic Plan (2008-2013) positions capacity development as the organization’s core contribution to development and a transparent, accountable and responsive public administration is one of the focus areas within the Democratic Governance practice area globally.

“Developing the capacity of the public service and the public administration is considered a sine qua non, not only to guarantee inclusive MDG achievement, but also to foster national ownership and the sustainability of development interventions and programmes. Many attempts have been – and continue to be – made to modernise the public administration, with considerable success in some countries and less progress in others.”⁴² Out of 71 projects globally, UNDP has 12 projects in Asia-Pacific that deal with various aspects of public administration and civil service reform, as evidenced by

³⁸ The Draft Policy recommends that States should develop their own Training Policies, restricting the direct scope of the National Training Policy to the Central Services and a providing a suggestive framework for States.

³⁹ As envisaged in the Draft National Training Policy (2010), page 4

⁴⁰ The ARC has also recommended establishing Regional Training Institutes at the sub-State level to cater to the capacity development needs of middle and lower tiers of bureaucracy.

⁴¹ Between 2005 and 2011 the MoP implemented the DFID-funded Capacity Building for Poverty Reduction (CBPR) Programme which was to promote and support improvements in public administration for better service delivery that would benefit the poor and the marginalized.

⁴² UNDP 2010: Building Bridges between the State & the People. An Overview of Trends and Developments in Public Administration and Local Governance. Page 20-22. Link: <http://content.undp.org/go/cms-service/download/publication/?version=live&id=2672848>

five regional stock-taking papers⁴³. An additional 10 projects in Asia Pacific address public sector integrity and accountability – an area of work that is considered a separate priority for UNDP with high relevance to Public Administration and Civil Service Reform⁴⁴.

Although many projects focus on one government agency (e.g. the Civil Service Commission or the Ministry of Public Administration Reform), they are designed to bring about systemic changes to public administration or the management of its human resources, thus having broader effects beyond the department where the project is located.

Public sector and civil service reform projects have a strong capacity development component⁴⁵, focusing on improving public service delivery through institutional development, enhanced accountability, staff motivation and incentives for staff performance. **The choice of capacity development activities is largely determined by the national context, UNDP's own capacity and resources, and the recipient government's priorities.**

Strengthening the capacities of public administration needs to be at the heart of **UNDP India's efforts** as the achievement of national (e.g. inclusive growth) and global development goals (i.e. the Millennium Development Goals) hinge on the capacity of civil servants to deliver quality services in an efficient and effective manner and their commitment to inclusion through a renewed emphasis on reaching the marginalised and vulnerable.

In the 2010 Mid-Term Review of the UNDP Country Programme Action Plan evaluators found that the current focus on capacity development of Panchayati Raj Institutions and District-level Administration to promote decentralised planning needed a complementary strategy of engagement with higher level administrative institutions. It was suggested that UNDP re-engages with the Government departments and institutions concerned with governance and administrative reforms (e.g. the Ministry of Personnel, Public Grievances and Pensions and the National Academy of Administration) and takes up content development for core themes such as human development and gender equality. It was felt that providing young bureaucrats an orientation in these concepts would build a foundation for integrating these practices in their assignments, e.g. during district planning processes⁴⁶.

As the nodal ministry of the Government of India concerned with administrative reforms the Ministry of Personnel, Public Grievances and Pensions (MoP) collaborates closely with the Cabinet Secretariat and the Core Group on Administrative Reforms (CGAR) to push for a more responsive people-oriented civil service. The Ministry is also the coordinating agency of the Central Government in all personnel matters related to the civil service. It has three departments which cover the terrain of Personnel, Training, Administration & Civil Service Reforms, **Public Grievances as well as Pensions and Pensioner's Welfare**. Two of them are directly relevant to this initiative, while the third department⁴⁷ covers only pension related matters.

⁴³ See: UNDP 2010: Building Bridges between the State & the People. An Overview of UNDP's Recent and Current Interventions in Public Administration and Local Governance in Asia Pacific. Link: <http://content.undp.org/go/cms-service/download/publication/?version=live&id=2672900>

⁴⁴ UNDP 2010: Building Bridges between the State & the People. An Overview of Trends and Developments in Public Administration and Local Governance: page 29-31

⁴⁵ UNDP's Strategic Plan 2008-2011 positions capacity development as the organisation's core contribution to development. Responding to the growing demand for capacity development support, UNDP helps governments, civil society and other partners to build the skills, knowledge and experience they need to improve peoples' lives. This approach takes the existing base of capacities in every situation as its starting point and supports national efforts to extend and retain them, building on nationally determined priorities, policies and desired results.

⁴⁶ See UNDP CPAP Mid-Term Evaluation 2010. Available at <http://undp.org.in/undp-india-mid-term-review-country-programme-action-plan-2008-2012> (accessed on 15-06-2011)

⁴⁷ Department of Pension and Pensioners' Welfare

The Ministry's Department of Administrative Reforms and Public Grievances (DARPG) was first set up in 1964 within the Ministry of Home Affairs and became part of the MoP in 1985. It documents and disseminates best practices, promotes improvements in government structures & processes, citizen-centric governance (with an emphasis on grievance redressal) and innovations in e-Governance⁴⁸. The DARPG also oversees the status of the recommendations provided by the Administrative Reforms Commission (ARC) and liaises with State Governments, professional institutions, etc. in public management matters.

The Department of Personnel and Training (DoPT) *"acts as the formulator of policy and the watch-dog of the Government ensuring that certain accepted standards and norms, as laid down by it, are followed by all Ministries/Departments, in the recruitment, regulation of service conditions, posting/transfers, deputation of personnel as well as other related issues. [...] It also advises all organizations of the Central Government on issues of personnel Management"⁴⁹*. DoPT is also the cadre controlling authority for the Indian Administrative Service (IAS) and the three Secretariat Services in the Central Secretariat. It deals with cases of appointment to posts for various Public Sector Undertakings/Enterprises, Corporations, Banks and financial institutions and the assignment of Indian experts to various developing countries. **As regarding to personnel development DoPT's Training Division is responsible for the formulation and coordination of training policies for the All India and Central Services and provides support for the capacity building of State Government officials⁵⁰.**

A number of key national institutions⁵¹ come under the purview of the Ministry: the Central Administrative Tribunal (CAT), the Central Bureau of Investigation (CBI), the Central Information Commission (CIC), the Central Vigilance Commission (CVC), the Indian Institute of Public Administration (IIPA), the Institute of Secretariat Training & Management (ISTM), the Lal Bahadur Shastri National Academy of Administration (LBSNAA), the Staff Selection Commission (SSC), the Public Enterprises Selection Board (PESB), and the Union Public Service Commission (UPSC).

As the apex training institution for the civil service in India the Lal Bahadur Shastri National Academy of Administration (LBSNAA) provides foundation training to the officers of the Indian Administrative Service (IAS) and allied All India Services, such as the Indian Police Service (IPS), the Indian Foreign Service (IFS), the Indian Forest Service (IFS), the Indian Revenue Service (IRS), the Indian Audits and Accounts Service (IA&AS), and the Indian Railway Traffic Service (IRTS). The IAS officers continue their professional training and attend mid-career training programmes at the academy for officers at various levels of seniority. The academy also conducts ad-hoc training programmes in various aspects of governance and public administration. LBSNAA is organisationally and financially attached to the DoPT.

LBSNAA hosts a number of research centres which have recently been merged under the National Institute of Administrative Research (NIAR): the Centre for Disaster Management (CDM), the Centre for Rural Studies (CRS), the National Centre for Gender Training, Planning and Research (NCGTR), the National Centre for Urban Management, and the Centre for Cooperatives and Rural Development (CCRD). NIAR is organised as an autonomous society constituted under the aegis of LBSNAA and carries out policy research activities with a view to disseminate knowledge and to provide policy inputs to the concerned Ministries and Departments. NIAR has ambitions to set up additional centres, among them a Centre for Good Governance and a Centre for Climate Change and Environment (CCCE).

⁴⁸ The 2010 Mid-Term Review Report also recommended that UNDP revisits successful initiatives in the use of information technology for decentralised governance (e.g. information kiosks for accessing information and making queries under the Right to Information Act; e-platforms for legal education and advice; digitisation of district land records and setting up of electronic databases to track and monitor the performance of flagship programmes).

⁴⁹ DoPT Website: www.persmin.nic.in/AboutUs_Responsibilities.asp (accessed on 15-06-2011)

⁵⁰ *ibid*

⁵¹ See DoPT Website: www.persmin.nic.in/AboutUs_OrganisationUnderMOP.asp (accessed on 15-06-2011)

Lately UNDP India has intensified collaboration with LBSNAA in an effort to reach officers of the Indian Administrative Service. UNDP is providing funding support to a new Centre for Climate Change and Environment (CCCE), intends to strengthen the Centre for Disaster Management through the Gol-UNDP Disaster Risk Reduction Programme and has begun joint activities in support of the National Institute of Administrative Research. Many other Gol-UNDP projects have ongoing collaborations with the State ATIs, but there is no overarching framework that would impact the enabling environment level (i.e. personnel management and development policy).

The two MoP departments - Administrative Reforms & Public Grievances and Personnel & Training – together with the National Academy of Administration play a key role at national level in strengthening public administration and cover all capacity development entry points: the enabling environment, the organisational level and the individual level. A project which combines the strengths of these institutions with UNDP technical assistance and advisory services that leverages best practice and knowledge, is likely to have an impact on the performance of Civil Servants who are instrumental in policy and programme design as well as in improving services at the cutting edge.

3. Lessons from Past Collaboration

UNDP India and the Ministry of Personnel, Public Grievances and Pensions (MoP) have a long-standing partnership of capacity development projects. The following are recent MoP-UNDP projects:

- Training in Public Administration (1987)
- Management Development of Senior Administration (1993)
- Capacity Building for Civil Service, Administrative Reforms & Training in the Centre and the States (1995)
- Strengthening of State Administrative Training Institutes (2000)
- Capacity Building for Access to Information (2005)

In the 1990s and early 2000s UNDP's technical assistance was provided to improve management efficiency and effectiveness to support economic reforms through management development programmes⁵², capacity building of faculty of selected training institutions in the field of distance education/learning⁵³ as well as in institutional capacity building for State Administrative Training Institutes⁵⁴.

The focus shifted between developing centres of excellence for capacity building/training and research at either the state (i.e. ATIs) or national level (i.e. Centre for Public Policy / IIM Bangalore). In the context of public administration, strengthening the sub-national level was seen as beneficial as State institutions would be closer to the implementation and service delivery agencies while national level institutions were identified to provide high-level policy inputs and to act as nodes in a network of institutions across States. A large number of training modules⁵⁵ – ranging from project management and change management to decentralised planning, gender and citizen charters – has been developed by the DoPT and resource persons were trained. Beyond these, other Gol-UNDP projects have collaborated with ATIs and the LBSNAA to strengthen their training capacity in regards to Human Development, District Planning, Gender Mainstreaming and Budgeting, Disaster Risk Management and other development related fields.

The most recent MoP-UNDP project⁵⁶ focussed on access to public information and strengthened capacities of ATIs across India to provide training to duty bearers and rights holders in the Right to

⁵² IND/93/007 – Management Development of Senior Administration

⁵³ IND/87/008 – Training in Public Administration

⁵⁴ IND/99/542/A/01/99 – Strengthening of State Administrative Training Institutes

⁵⁵ The 25 UNDP supported training modules are accessible at

www.persmin.nic.in/otraining/UNDPPProject/modules.asp (accessed on 16-06-2011)

⁵⁶ IND/03/024 – Capacity Building for Access to Information, 2005-2010

Information (RTI) Act 2005. The project helped build capacities that were essential in managing the transition towards a more transparent bureaucracy as a shift in mindset needed to take place and newly designated Public Information Officers (PIOs) needed to familiarise themselves with the provisions of the RTI Act. Resource material, manuals, an eLearning module and translations of the Act were developed and approximately 100,000 trainees benefitted from training at the State and District⁵⁷ level. The project also comprised of a number of knowledge sharing and awareness generation initiatives⁵⁸, implemented by the training institutions and civil society. It was scaled up during its implementation in the centrally-sponsored scheme 'Strengthening, Capacity Building and Awareness Generation for the Effective Implementation of the RTI Act' (2008-2010), followed by another CSS titled "Improving Transparency and Accountability through the Effective Implementation of the RTI".

4. Scope and Strategy

The "PIIA" project will bring together the two key departments of the MoP (namely DARPG and DoPT) as well as the National Academy of Administration (LBNSAA) in developing capacities of civil servants and in strengthening their enabling environment in view of a more effective, efficient, transparent and accountable Public Administration at National and State level that takes to heart the Gol objective of inclusion through an enhanced delivery of services to the marginalised and vulnerable.

The project will base its activities on strategic themes that have emerged from the 2nd Administrative Reforms Commissions recommendations and select issues as determined by the project partners in the Project Steering Committee (see Management Arrangements) and will take an integrated approach that spans policy development, human resource management, and capacity development. For this purpose the project intends to establish joint task forces that combine the strength of the project partners.

The project is intended to serve as a short duration exploratory project whose scope and strategy may be adjusted at the end of the current UNDP Country Programme Period (ending 2012). Despite its short duration, a limited engagement of one or more State Government(s) is foreseen for focussed state-level activities. The selection of (a) State(s) will take into account the level of funding available and the interest taken by the respective State Government(s).

Firstly, it will support innovative policies and practices at/from the national and sub-national level that demonstrate (a) enhanced service delivery performance of public administration, (b) greater transparency and inclusion in administrative processes and (c) enhanced responsiveness to the needs of marginalised groups. The project will primarily involve the Indian Administrative Service (IAS) given its impactful presence at all levels of Government. In addition, State Civil Services will benefit from the inputs provided nationally for adaptation at the State level as well as through state-level activities.

Secondly, it will provide institutional development and knowledge management support to the DARPG, DoPT and LBSNAA, initiate key capacity development activities for civil servants in select Ministries/Departments/Agencies and undertake analytical studies to support policy advocacy events and workshops on administrative and civil service reform.

Thirdly, the project will support International collaboration, in view of sharing best practices and knowledge from India and of debating development challenges with policy-makers, experts and practitioners from other developing nations.

⁵⁷ Two districts were selected in each State. Jammu and Kashmir did not get covered under the project.

⁵⁸ The Hunger Project (THP), Kabir and the Centre for Youth and Social Development (CYSD) Orissa received grants to generate awareness on the RTI with a focus on women and girls. The RTI Radio programme by Kabir is accessible at www.kabir.org.in/content/fm.htm (accessed on 16-06-2011) and the CBA2I project website was the predecessor of the RTI Gateway, now hosted by the GoI, which features TV clips and an animation trailer developed under the project.

Accordingly, the broad scope of the project covers the following thematic areas to which the deliverables of the project relate:

Civil Service Management and Reforms

- Human Resource Management Policies and Procedures (e.g. Terms & Conditions, Recruitment, Selection, Placement, Tenure, Motivation, Promotions, Incentives, Grievance Redressal)
- Legal and Ethical Frameworks (e.g. Ethical Code, Rules of Conduct, Implementation Guidelines, Integrity Framework)
- Institutional Framework and Structural Reforms (e.g. Public Sector Organisation and Staffing, Public Financial Management⁵⁹, Communication and Information Systems)

Human Resource Development⁶⁰

(Individual, Career, and Organizational Development, and Performance Management)

- Career Planning and Professional Development
- Training, Mentoring and Handholding
- Leadership Development⁶¹
- Measures to promote Gender Equality in the Civil Service
- Attitudinal Change and Awareness Raising

Policy Making and System Performance

- Policy Making and Coordination (e.g. Strategic Planning, Policy Coordination, Stakeholder Consultation, Monitoring & Evaluation, Decision-Making, Knowledge Management and Learning)
- Efficiency, Quality, Effectiveness, Transparency & Accountability, Inclusiveness

Service Delivery⁶²

- Responsiveness to Client Needs, Citizen Charters (i.e. Service Standards and Targets), Performance Monitoring, Institutional Capacity Development
- Service Delivery Reforms (e.g. Decision-making Structures, Simplification, Quality Management, Deconcentration & Devolution, Public-Private Partnerships, eGovernance & mGovernance)
- Pro-Poor Focus and Outreach to the Excluded and Marginalised Population

5. Proposed Outputs and Deliverables

The most closely associated output of the UNDP Country Programme Action Plan⁶³ (2008-2012) is Output 2.1.2:

Institutions and mechanisms strengthened to enhance capacities of elected representatives and functionaries for human development oriented inclusive planning, implementation, and improved accountability in local governance.

⁵⁹ Includes: budget preparation and execution, accounting systems, audit and legislative scrutiny

⁶⁰ See Haslinda A. (2009): Evolving Terms of Human Resource Management and Development. The Journal of International Social Research. Volume 2 / 9. Available at: www.sosyalarastirmalar.com/cilt2/sayi9pdf/haslinda.pdf (accessed on 15-06-2011)

⁶¹ “Civil service leadership has been added as a theme in recognition of the critical role that senior managers play, in some cases as part of a separate executive service, both in driving reforms and maintaining an effective public service” (see UNDP 2009: Users’ Guide For Public Administration Performance, p. 4)

⁶² “Service delivery is regarded by many commentators as an outcome of reform, where public administration engages with the citizen. But it is also a key driver in that ambitious poverty reduction programmes require a more efficient and effective public administration in order to succeed. As such, improving the processes and capacities for delivering public services is an increasingly significant focus in many reform programmes” (ibid).

⁶³ Available at: <http://data.undp.org.in/prodoc/SignedCPAPDocument.pdf> (accessed on 24-06-2011)

This project will focus on capacity development of civil servants (here: functionaries) and public administration, giving priority to national and state civil services which have significant impact on local governance.

The expected outputs of this project will be:

1. Improved Performance Management & Accountability of the Civil Service;
2. Capacity Development for Inclusive Growth & Enhanced Service Delivery to the Marginalised in select Ministries/Departments;
3. International Cooperation in the area of Public Administration and Inclusion.

Deliverables

- Institutionalisation support for incoming legislative and policy reform initiatives, such as the *Civil Services Performance Standards and Accountability Bill* and the *National Training Policy* (both currently in draft stage);
- Strengthening of the integrity frameworks of the Civil Service (e.g. Ethical Code, Rules of Conduct, Implementation Guidelines);
- Training roster development and management support at national and state level;
- Training module⁶⁴ development for use in national- and state-level institutions;
- Technical assistance to strengthen the competency framework⁶⁵ and personality⁶⁶/performance assessment mechanisms;
- Development of a Civil Service Leadership Development Action Plan with special attention to women in the Civil Service to promote gender equality;
- Capacity development activities⁶⁷ for civil servants in select Ministries/Departments/Agencies;
- Leadership Development activities for civil servants and select stakeholders;
- Institutional strengthening⁶⁸ and knowledge management support for the LBSNAA;

- Supporting, documenting, and disseminating innovative policies and practices at/from the national and sub-national level which demonstrate:
 - a) enhanced service delivery performance of public administration,
 - b) greater transparency and inclusion in administrative processes and
 - c) enhanced responsiveness to the needs of marginalised groups
- Developing an evidence base for policy advocacy and reform at National and State level on the thematic areas indicated in the Project Strategy and Scope;
- Policy advocacy with target Ministries/Departments at National and State level and legislators (through events and policy briefs);

- Sharing of international experience and best practices from within UNDP;

⁶⁴ Subjects may include: “Ethics in Governance” (i.e. Ethics, Transparency and Accountability); Outcome-based Planning for Achieving Development Goals (HD, MDGs and Gender) for Policy Makers & Senior Managers; Results Management of Government Schemes; Leadership Development; Stakeholder Engagement.

⁶⁵ Refers to the incoming National Training Policy (see page 7) and could include exploring the definition of occupational standards, competency mapping and competency profiles associated with job descriptions. The UK has National Occupational Standards (NOS) which comprise of optional and mandatory competencies. The latter are constituted by performance criteria, associated knowledge and understanding.

⁶⁶ Measurement instruments such as [questionnaires](#), [tests](#), and personality assessments often include psychometric testing with the intention to measure psychological attributes like intelligence, personality and attitudes. See Wikipedia: <http://en.wikipedia.org/wiki/Psychometrics> (accessed on 22-08-2011).

⁶⁷ This may include (a) support to the IAS District Training through using the Human Development Reports in Situation Analysis and other tools for monitoring development results or (b) supporting leadership development of IAS Officers

⁶⁸ This may include: Supporting networking and knowledge sharing activities with other Academies and Institutes for Public Administration; Providing technical advisory services to the National Institute of Administrative Research; Training Needs Assessments and Reviews

- Facilitation of international partnerships to share knowledge and best practices

6. Results and Resources Framework

Intended Outcome as stated in the Country Programme Results and Resource Framework:				
UNDP Country Programme Outcome 2.1: <i>Capacities of elected representatives and State and district officials in the UNDAF focus states/districts enhanced to perform their roles effectively in local governance</i>				
Outcome indicators as stated in the Country Programme Results and Resources Framework, including baseline and targets.				
Applicable Strategic Plan Key Result Area: <i>Democratic Governance - Strengthening Accountable and Responsive Governing Institutions</i>				
Project title and ID (ATLAS Award ID): <i>Pathways for an Inclusive Indian Administration (ATLAS Award: ...)</i>				
Intended CPAP Output or Project Outcome <i>(as outlined in CPD/CPAP)</i>	Project Output and Targets	Indicative Activities (<i>deliverables</i>)	Responsible parties	Inputs
CPAP Output 2.1.2 Institutions and mechanisms strengthened to enhance capacities of elected representatives and functionaries for human development oriented inclusive planning, implementation, and improved accountability in local governance.	Output 1 Improved Performance Management & Accountability of the Civil Service <ul style="list-style-type: none"> Awareness and responsiveness of civil servants has increased and service delivery to the marginalised and vulnerable improved in select Ministries/ Departments/ Agencies. Innovative policies and practices at National and State supported, documented and disseminated. 	<ul style="list-style-type: none"> Supporting, documenting, and disseminating innovative policies and practices at/from the national and sub-national level which demonstrate: <ol style="list-style-type: none"> enhanced service delivery performance of public administration, greater transparency and inclusion in administrative processes and enhanced responsiveness to the needs of marginalised groups Undertake awareness raising activities for civil servants in select Ministries/ Departments/Agencies; Organise events and publish knowledge products that support policy advocacy with target Ministries/Departments at National and State level and legislators; Conduct research to develop an evidence base for policy advocacy and reform at National and State level (on the thematic areas indicated in the Project Strategy and Scope) 	Ministries, State governments, resource institutions and experts	Financial, human, material, technological and information resources

	<p>Output 2 Capacity Development for Inclusive Growth & Enhanced Service Delivery to the Marginalised.</p> <ul style="list-style-type: none"> ▪ Civil Service Leadership Development Action Plan developed and implementation initiated with select ministries/departments. ▪ Competency framework and performance assessment mechanisms developed/enhanced; ▪ Training modules developed and resource persons/trainers trained. ▪ Targeted capacity development activities for civil servants in select Ministries/ Departments/ Agencies designed and implemented, impact of interventions documented. ▪ LBSNAA and NIAR have significantly enhanced the quality of their training and research. ▪ Roll-out plans for the incoming legislative and policy reform initiatives developed and submitted to decision makers for endorsement. 	<ul style="list-style-type: none"> ▪ Strengthening the competency framework and personality/performance assessment mechanisms, adding inclusion aspects; ▪ Develop of a Civil Service Leadership Development Action Plan with special attention to women in the Civil Service to promote gender equality; ▪ Leadership Development activities for civil servants and select stakeholders; ▪ Develop training modules for use in national- and state-level institutions; ▪ Undertake capacity development activities for civil servants in select Ministries/ Departments/ Agencies; ▪ Develop a National Training Roster and management structure and provide design and management support to select State governments in setting up a similar roster; ▪ Support networking and knowledge sharing activities between LBSNAA and other academies and institutes, ▪ Provide technical advisory services to NIAR/LBSNAA; ▪ Conduct training needs assessments and reviews for IAS Training at LBSNAA; ▪ Provide knowledge management support and management advisory services to LBSNAA and its institutes; ▪ Develop roll-out/implementation plans in support of the incoming legislative and policy reform initiatives and assist in their implementation through the provision of Technical Assistance. 	<p>LBSNAA, ATIs, State governments, resource institutions and experts</p>	<p>Financial, human, material, technological and information resources</p>
	<p>Output 3 International Cooperation in the area of Public Administration and Inclusion.</p> <ul style="list-style-type: none"> ▪ Two international knowledge sharing events organised and International Partnerships between India and other Developing and/or Middle Income Countries supported. ▪ One international knowledge sharing event on Service Delivery or Inclusion organised. 	<ul style="list-style-type: none"> ▪ Share international experience and best practices from within UNDP ▪ Facilitate International Partnerships to share knowledge and best practices 	<p>Ministries, Resource institutions, Government institutions and experts</p>	<p>Financial, human, material, technological and information resources</p>

The project envisages the following risks which need to be considered once it becomes operational:

Risk	Category	Impact & Probability	Response
Government and Institutional commitment	Political	Delay in implementation and inaction in respect of project activities	Regular interactions among key project staff and decision makers, sharing of priorities and revisions through the Project Steering Committee
Lack of demand	Political	Delay in implementation and inaction in respect of project activities	Re-assess the menu of services offered; review AWP and adapt to demand
Rotation of staff	Operational	HR capacity temporarily affected, know-how lost	Prioritise recruitment/ procurement process and provision of stop-gap arrangement
New <i>National Training Policy</i> does not get approved or gets delayed.	Legislative	Completion of project deliverables affected	Delay or cancellation: adapt AWP and substitute with other activities that address relevant gaps
New <i>Civil Services Performance Standards and Accountability Bill</i> does not get approved or gets delayed.	Legislative	Completion of project deliverables affected	Delay or cancellation adapt AWP and substitute with other activities that address relevant gaps

7. Management Arrangements

Implementation Arrangements

The Country Programme Management Board (CPMB) convened by DEA has the oversight of the Gol-UNDP Country Programme and the Programme Management Board (PMB) which is co-chaired by DEA and UNDP oversees the Democratic Governance Programme Outcome (Outcome 2 in CPD/CPAP). The PMB oversees the delivery and achievement of results for all the initiatives under the Democratic Governance Programme Outcome and provide strategic direction for future programmes in this outcome area.

The project will be implemented by the Ministry of Personnel, Public Grievances and Pensions (MoP). The National Project Director (NPD), designated by the MoP, will be responsible for overall management, including achievement of planned results, and for the use of UNDP funds through effective management and well established project review and oversight mechanisms.

The MoP will sign a budgeted Annual Work Plan (AWP) with UNDP on an annual basis, as per UNDP rules and regulations, and submit financial monitoring reports as agreed between UNDP and MoP.

Responsible Parties:

To achieve project results, the MoP and UNDP will identify partners for carrying out specific project activities. These will be designated as Responsible Parties and could be state departments, universities, societies, civil society organizations (CSOs), financial institutions, private sector development agencies or UN agencies.

MoP and UNDP as implementing partners will enter into agreements/sub-contracts with these institutions/organizations or procure the services of consultants to ensure proper implementation of project activities. Procurement of services from (a) Responsible Parties/Party will be based on a capacity assessment and a process of competitive bidding to undertake specific tasks linked to project outputs carried out under the overall guidance of the Project Steering Committee.

Project Steering Committees:

A Project Steering Committee (PSC) will be set up at national level and will be co-chaired by the NPD (MoP) and UNDP and comprise designated representatives from MoP, UNDP and representatives from Responsible Parties. The PSC will:

- Ensure that project goals and objectives are achieved in the defined timeframe;
- Review project progress and suggest implementation strategies periodically;
- Review project expenditures against activities and outcomes; and
- Approve Annual and Quarterly Work Plans.

State Steering Committees may be set up in the respective States once considerable activities commence at the state level.

The PSC will be responsible for making management decisions for the project by consensus and holding periodic reviews. **In order to ensure UNDP's ultimate accountability, the final decision making rests with UNDP** in accordance with its applicable regulations, rules, policies and procedures.

Project Management Team:

Project management arrangements will be mutually agreed upon between MoP and UNDP. State-level arrangements will need to be made based on a tri-partite agreement between MoP, UNDP and the respective State Government. A Project Management Team headed by a full-time Project Manager will be established under the project for national level activities being implemented by MoP as well as oversight of state-level partnerships.

The full-time Project Manager will be designated by the MoP or recruited on project funds for the day-to-day management, monitoring and review of project activities, coordination with Responsible Parties and different stakeholders at national and state level. The Project Manager will be accountable to the NPD and the PSC. S/he will prepare the Annual Work Plans which will be submitted to the PSC for approval. The Project Manager will ensure that the project produces the results specified in the project document, maintain the required standards of quality and adhere to the specified time and cost constraints.

The Project Manager will be responsible for preparing and submitting to the MoP and UNDP the following reports/documents: Annual and Quarterly Work Plans, Quarterly and Annual Progress Reports (substantive and financial), Issue Log, Risk Log, Quality Log, Lessons Learnt Log, Communications and Monitoring Plan using standard reporting format to be provided by UNDP. S/he will ensure that responsible parties are capable of delivering outputs. S/he will utilise her/his domain knowledge relevant to the project to establish quality standards for delivery of outputs. S/he will provide technical guidance to the responsible parties as and when necessary in consultation with UNDP.

The Project Manager will be assisted by a Project Assistant in the day-to-day management of the project who is to be designated by the MoP or recruited on project funds.

Above project management arrangements at national and state level can detailed out further in the Annual Work Plans.

The recruitment and staffing process will give due attention to considerations of gender equality, promoting diversity at workplace and will not discriminate on the basis of HIV/AIDS status.

Communications:

All publications and communication materials which are produced with funding from this project fall under the design guidelines of the UNDP which require visibility of project partners (i.e. all logos should be placed on the same line either at the bottom or at the top of the front cover of the publication. All logos should be visually equal; no one logo should take precedence over the other logos of partnering agencies or organizations. Logos of commercial publishing houses should be

placed discreetly on the back cover of the publication, on the spine or on the inside pages of the publication.

UNDP owns the copyright for materials produced or developed in connection with its projects. This **policy is reflected in UNDP's Agreements with Governments and in the Agreements** with its Executing Agencies. The Standard Basic Assistance Agreement (SBAA) establishes that UNDP retains the rights to all intellectual property created by its technical assistance (both project and non-project), but that normally the Government would have a free license to use the rights for non-commercial purposes.

Project Assurance:

Project Assurance will be the responsibility of UNDP. UNDP in its Project Assurance role will support the PSC and SSC by carrying out objective and independent project oversight and monitoring functions. During the implementation of the project, this role ensures (through periodic monitoring, assessment and evaluations) that appropriate project management milestones are managed and completed to the satisfaction of the project partners.

UNDP (Project Assurance), in collaboration with the Project Manager, will convene an annual review meeting involving the Implementing Partners and Responsible Parties to review the progress in the previous year and approve the work plan for the coming year. The MoP will conduct review meetings involving the Implementing Partners and Responsible Parties to review the progress in the previous year and discuss the work plan for the coming years. An independent external review may be conducted through resource persons/groups to feed into this process. Project Assurance and Project Manager will meet quarterly (or whenever guidance/decision is required).

Funds Flow Arrangements and Financial Management:

The UNDP Financial Rules and Regulations as well as charges will apply for expenditure incurred under the project. Funds will be released to vendors and third parties according to the approved AWP.

Funds will be released to the MoP as per the approved AWP. No funds shall be released by UNDP without prior submission of a duly filled and signed standard Fund Authorization and Certificate of Expenditure (FACE) Report. The Project Manager will be responsible for compilation and collation of these Financial Reports. Unspent funds from the approved AWP's will be reviewed in the early part of the last quarter of the calendar year and funds reallocated accordingly. The detailed UNDP financial guidelines will be provided on signature of the project.

The MoP may enter into an agreement with UNDP for the provision of support services provided by UNDP in the form of procurement of goods and services. UNDP rules and regulations as well as charges will apply in such cases. Cost recovery for implementation support services (ISS) provided by UNDP will be charged as per UNDP rules and regulations. **The details of UNDP's support services will be outlined while finalizing the Annual Work Plan and Budgets for each year.**

The AWP budget will allocate up to 1% of the total project for communication, advocacy and accountability purposes undertaken by UNDP.

Interest Clause:

A separate Savings Bank Account will be opened in the name of the project and any interest accrued on the project money during the project cycle will be ploughed back into the project in consultation with the MoP, State Governments and UNDP and project budgets will stand revised to this extent. In case there is no scope for ploughing back, the interest will be refunded to UNDP.

Audit:

The project shall be subject to audit in accordance with UNDP procedures and as per the annual audit plan drawn up in consultation with DEA. The project shall be informed of the audit requirements by January of the following year. The audit covering annual calendar year expenditure will focus on the following parameters – (a) financial accounting, documenting and reporting; (b) monitoring,

valuation and reporting; (c) use and control of non-extendable reporting; (d) UNDP Country Office support. In line with the UN Audit Board requirements for submitting the final audit reports by 30 April, the auditors will carry out field visits during February/March. Detailed instructions on audit will be circulated by UNDP separately and on signature.

8. Monitoring & Evaluation

A monitoring and evaluation system will be established to track the project's progress at national and state levels. It will also help identify lessons and good practices with potential for policy advocacy and replication/scaling up in other states/regions. The monitoring tools used will promote learning (including identification of factors that impede the achievement of outputs). Such learning will be used to adapt strategies accordingly and avoid repeating mistakes from the past.

The MoP and State Governments will have the overall responsibility of monitoring the AWP, in line with the roles and responsibilities described above and through regular monitoring visits and quarterly review meetings by the PSC. The Project Manager assisted by a team will be responsible for overall coordination and management of project activities through periodic field visits, interactions with state level project teams/partners and desk reviews. S/he will also prepare and submit periodic progress reports to the PSCs. Monitoring will be an on-going process and mid-course corrections will be made if required.

An annual project review will be conducted during the 4th quarter of each year to assess the performance of the project and the extent to which progress is being made towards outputs, and ensure that these remain aligned to relevant outcomes. Based on the status of project progress, the Project Manager will prepare an Annual Work Plan for the subsequent year which will be discussed and approved at the annual review meeting. In addition, UNDP will commission a mid-term project review and annual management and financial audit during the project period. In the last year, the annual review will be the final evaluation of the project and this will involve all key project stakeholders.

A variety of formal and informal monitoring tools and mechanisms should be used by the Project Management Team and IPs. This would include field visits as well as reports in standard UNDP **formats and as per UNDP's web-based project management system (ATLAS)**. Within the annual cycle, the Project Manager in consultation with the NPD, and UNDP will ensure quarterly review and reporting.

9. Transition or Exit Strategy

This project is intended as a preparatory phase for a larger follow-up project during the upcoming programming cycle which will be guided by the UN Development Assistance Framework (UNDAF) 2013-2017. Given that it is due to start in the second half of the current cycle and given the short duration of the project, the exit strategy for this project is to take shape as a strategy development phase which would feed into a full-fledged programme document.

This strategy development phase will begin after a review exercise during the 2nd and 3rd quarter of 2012 to determine whether the current strategic orientation of the project is adequate and which adjustments are required for the development of the follow-up project. This review would be undertaken jointly with project stakeholders to decide the form of continuation of the project.

In case the project review finds that a continuation of the project is not desirable or feasible, adequate mechanisms and systems will be put in place for a steady and smooth transition to institutionalize key functions in the state/national governments, platforms/networks and identified institutions (e.g. new institutions created under the project). The transition or closure of the project may include additional

capacity development of stakeholders to undertake these functions. Further plans may also be developed by national and state governments to move onto next steps, including establishing post-project monitoring/handholding mechanisms. Dissemination workshops will be organised to share project lessons and to identify elements to be taken up on a sustained basis by national and state governments.

The exit strategy will also allow UNDP and the Implementing Partner to withdraw from the project in the case of risks (anticipated or unanticipated) that prevent the achievement of project deliverables.

The Project Manager will define the process for the formal handover of project assets/equipment, documents and files to the Implementing Partners and/or responsible parties as per UNDP guidelines and PSC/SSC decision. A mechanism for post-project maintenance of assets will also be established.

10. Legal Context

This document together with the CPAP signed by the Government and UNDP which is incorporated by reference constitute together the instrument envisaged in the Supplemental Provisions to the Project Document. Consistent with Supplemental Provisions, the responsibility for safety and security **of the IP and its personnel and property, and of UNDP's property in the implementing partner's custody**, rests with the implementing partner. The implementing partner shall:

- put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried;
- **Assume all risks and liabilities related to the implementing partner's security, and the full implementation of the security plan.**

UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of this agreement.

The implementing partner agrees to undertake all reasonable efforts to ensure that none of the UNDP funds received pursuant to the Project Document are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). This provision must be included in all sub-contracts or sub-agreements entered into under this Project Document.

11. Budget

Expected Outputs	Key Activities and Deliverables	Amount (USD)
Output 1 Improved Performance Management & Accountability of the Civil Service	<ul style="list-style-type: none"> ▪ Supporting, documenting, and disseminating innovative policies and practices at/from the national and sub-national level which demonstrate: <ul style="list-style-type: none"> a) enhanced service delivery performance of public administration, b) greater transparency and inclusion in administrative processes and c) enhanced responsiveness to the needs of marginalised groups ▪ Undertake awareness raising activities for civil servants in select Ministries/ Departments/Agencies; ▪ Organise events and publish knowledge products that support policy advocacy with target Ministries/Departments at National and State level and legislators; Conduct research to develop an evidence base for policy advocacy and reform at National and State level (on the thematic areas indicated in the 	120,000

	Project Strategy and Scope)	
Output 2 Capacity Development for Inclusive Growth & Enhanced Service Delivery to the Marginalised in select Ministries/Departments	<ul style="list-style-type: none"> ▪ Strengthening the competency framework and personality/performance assessment mechanisms, adding inclusion aspects; ▪ Develop of a Civil Service Leadership Development Action Plan with special attention to women in the Civil Service to promote gender equality; ▪ Leadership Development activities for civil servants and select stakeholders; ▪ Develop training modules for use in national- and state-level institutions; ▪ Undertake capacity development activities for civil servants in select Ministries/Departments/Agencies; ▪ Develop a National Training Roster and management structure and provide design and management support to select State governments in setting up a similar roster; ▪ Support networking and knowledge sharing activities between LBSNAA and other academies and institutes, ▪ Provide technical advisory services to NIAR/LBSNAA; ▪ Conduct training needs assessments and reviews for IAS Training at LBSNAA; ▪ Provide knowledge management support and management advisory services to LBSNAA and its institutes; ▪ Develop roll-out/implementation plans in support of the incoming legislative and policy reform initiatives and assist in their implementation through the provision of Technical Assistance. 	200,000
Output 3 International Cooperation in the area of Public Administration and Inclusion	<ul style="list-style-type: none"> ▪ Share international experience and best practices from within UNDP ▪ Facilitate International Partnerships to share knowledge and best practices 	80,000
	▪ Project Management, Assurance and Implementation Support Services	100,000
Total		500,000