GOOD GOVERNANCE AND CHANGE

MANAGEMENT : TOOLKITS FOR PUBLIC MANAGERS

2005

Centre for Good Governance
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Foreword

The increasing importance accorded to governance issues in recent times highlights the realization that 'Governance Matters'. It matters to the policy makers who create the architecture and institutions within which governing structures function. It matters to the service providers as it influences the incentive structure within which they render public service delivery. Most importantly, it matters to citizens, especially the poor, who seek but rarely find a place within the governance process.

The key challenge for government leaders and administrators does not lie in the articulation of the precepts of good governance – it lies in the conscious adoption, use and institutionalization of good governance practices in public administration. This requires an endearing commitment to public service, a real ability to influence people, a profound capacity to lead and manage change, an unswerving attitude to overcome powerful obstacles and, last but not the least, practical insights and knowledge into the governance process.

This toolkit series attempts to provide useful knowledge to public administrators for use and institutionalization in the governance process. It comprises a range of functional methods and tools that decision-makers can use for developing better strategies, transforming processes, building human capital, enhancing service delivery, empowering people and fostering accountability and transparency.

To reach distant goals one must start with small steps. Institutionalizing such methods and tools is one such step for enabling good governance.
1. Good Governance Framework

Conceptualising governance

Governance refers broadly to how power is exercised through a country’s economic, social, and political institutions to use the country’s resources for socio-economic development. The process of governance encompasses the political, social and economic aspects of life which have an impact on each individual, household, village, region or the nation. Governance involves (1) the State, which is responsible for creating a political, legal and economic environment conducive for building individual capabilities and encouraging private initiative; (2) the civil society, which facilitates the mobilisation of public opinion and people’s participation in economic, social and political activities, and (3) the market, which is expected to create opportunities for people. Governance involves all the three actors. Good governance is about promoting healthy interaction between the three for human, social and economic development of a nation with people at the centre.

A useful approach to examine the issues of governance is to view governance as the process of intermediation involving a continuous interplay of three elements, each representing a specific set of deliberate arrangements – Institutions, the Delivery Mechanism and the Supportive and Subordinate Framework of Legislations, Rules, and Procedures.

Institutions - adopted or created arrangements - both formal and informal, to bring about predictability, stability and efficiency in managing the social, economic or political transactions in any society.

The Delivery Mechanism - including the executive apparatus adopted or evolved by the institutions for implementing the agenda and the objectives for which the said institutions have been created.

The Supportive and Subordinate Framework of Legislations, Rules, and Procedures – formulated for delivering and meeting the stated responsibilities of the concerned institutions.

The above broad conceptualization of governance can be applied to study a multitude of development concerns. Problems of poverty and governance are
inextricably linked. Weak governance of public institutions, unresponsive systems of public service delivery and inappropriate legal regimes impose particular costs on the poor. In particular, institutional dysfunction deters governments from undertaking actions that benefit the poor.

**Focusing on key concerns**

Governance is a broad topic and can reasonably include consideration of areas ranging from human rights—through democracy and participation—to military spending. A useful way to approach governance reforms is to look at the factors responsible for poor governance and address the root causes. Some concerns attributable to poor governance are identified to include the following:

1. Denial of basic needs of food, water and shelter to a substantial proportion of the population;
2. Threat to life and personal security in the face of inadequate State control on law and order;
3. Lack of sensitivity, transparency and accountability in many facets of the working of State machinery, particularly those that have an interface with the public;
4. Marginalisation, exclusion or even persecution of people on account of social, religious, caste or even gender affiliations;
5. Lack of credibility – the gap between the intent and the action – of some institutions in society that matter;
6. Inadequate system of incentives/disincentive for people (particularly for a civil servant), subversion of rules, evasion of taxes and failure in getting timely justice;
7. Existence of a significant number of voiceless poor with little opportunities for participating even in institutions of local self-governance, despite a visible movement towards decentralisation through the Panchayati Raj Institutions.

Governance reforms are critical to address the above concerns and to ensure effective delivery of services and achieving the goals set out by respective governments at national, state and subnational levels. Better governance can improve economic growth and the effectiveness of service delivery, as well as ensure that the benefits of these improvements go to those who need them most. Goal 8 of the UNDP Millennium Development Goals (Develop a Global Partnership for Development) includes the commitment to good governance, development and poverty reduction – both nationally and internationally. As the
Secretary General of United Nations, Kofi Annan observes, the single most important factor for the attainment of MDGs is good governance.

**Developing a core governance agenda**

Government need not do everything. A Core Governance Agenda may be developed for focused attention by government, which is independent of the government of the day and is in the supreme interest of the people and national development. This agenda is to be put in place in consultation with all stakeholders.

The approach for developing a Core Governance Agenda is elaborated below:

- **Prioritisation of goals**
  The Core Governance Agenda must be linked to the Millennium Development Goals (MDGs) of the country. The MDGs must be the basis of setting goals at the National, State and Local levels.

- **Developing indicators**
  The core development goals would need to be objectively assessed through indicators that not only capture the performance with regard to the goals but also provide an objective assessment of the nature of governance. A combination of outcome indicators (such as Literacy for All, Health for All, Safe Drinking Water to All, 100% Electrification of Villages etc.) and process indicators (participation, transparency, accountability) should be adopted.

- **Monitoring and evaluation**
  A systematic method for monitoring of indicators and evaluation of programmes should be evolved. This would enable a real-time assessment of the progress made with regard to the developmental goals and midway corrections effected, wherever necessary.

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<td>2. Job-oriented skills for the youth</td>
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Core Governance Agenda - An Illustrative List

Agriculture
1. Long-term policy for enhancing farm productivity
2. Reduction in cost of cultivation
3. Efficient water management
4. Micro-irrigation for dry land farming
5. Organic farming
6. Transfer of latest technology
7. Farmer-friendly support-systems

Education
1. Education for All by 2010
2. Girl child education
3. Eradication of child labour
4. Enhancement of educational quality

Health
1. Health for All by 2010
2. Reduction in Infant Mortality Rate and Maternal Mortality Rate
3. Modernisation of health infrastructure and management
4. Public-private partnership in medical care

Women and Children
1. Mother and child care services
2. Reservation for women in Legislatures
3. Legislation on domestic violence and against gender discrimination

Food and Nutrition Security
1. Comprehensive strategy for food and nutrition security
2. Mid-day meals to school children

Local Government
1. Empowerment of rural and urban local bodies; implementation of Constitutional provisions
2. Devolution of functions, finances and functionaries to local bodies
3. Local government capacity building
Core Governance Agenda - An Illustrative List

| Infrastructure | 1. Development and expansion of physical infrastructure like roads, highways, ports, power, railways, water supply, sewage treatment and sanitation |
|               | 2. Enhancing public investment in infrastructure, even as the role of the private sector is expanded |
|               | 3. Cost recovery on infrastructure spending |
|               | 4. Subsidies to be made explicit and provided through the budget |
| Water Resources | 1. Comprehensive water resource assessment, planning and management for the country as a whole and by river basin |
|               | 2. Ground water protection and recharging |
|               | 3. Rain water harvesting |
| Regional Development | 1. Tracking and redressing growing regional imbalances, both among States as well as within States, through fiscal, administrative, investment and other means |
| Rule of Law | 1. Establishing the Rule of Law |
| Administrative Reforms | 1. Preparing and implementing blueprint for revamping the public administration system |
|               | 2. Promoting e-Governance on a massive scale |
|               | 3. Implementing the Right to Information Act |

Formulating a core reform agenda

Core Governance Agenda requires a supporting Core Reform Agenda. As a matter of long-term policy, and as an enabling tool to further the Core Governance Agenda, a Core Agenda of Reforms needs to be evolved and implemented in the interest of national development and good governance. Such a reform agenda is to be developed separately for different levels of government after discussion and debate and through a consensus process. An agenda at the national level may address the following components:
1. Electoral Reforms
2. Economic Reforms
3. Fiscal Reforms
4. Labour Market Reforms
5. Administrative Reforms
6. Civil Service Reform
7. Judicial and Legal Reforms
8. Reforming the Cutting Edge - District Administration
9. Rural and Urban Decentralisation
10. Changing Attitudes and Mindsets
11. Capacity Building for Good Governance

State and local level agenda may be prepared based on the specific needs of reforms at each level to be arrived at in a consensus process.

**Implementing the core agenda**

The implementation of the core governance agenda at the level of a sector or a department of the government may involve the following which are not necessarily sequential:

- Development of Sector Strategy
- Preparation of Reform Action Plan
- Functional Review of Department - Structures and Processes
- Process Re-engineering – Simplification of processes, especially the complicated and corruption-prone processes and those involving close interactions with the people
- Review of Human Resource Management
- Financial Accountability Assessment
- Institution of Effective HR and Financial Management Systems
- Development of Medium-term Expenditure Framework
- Institution of Effective Legal Caseload Management System
- Institution of Effective Grievances Disposal and Monitoring System;
- Institution of Performance Management System and improving Delivery Focus in Policies and Programmes
- Formulation and Implementation of Citizen’s Charters
- Development of Government-Civil Society-Private Sector Partnerships
- Development and Implementation of Effective MIS
- Creation of Departmental Resource Centre and Bank of e-Tools
• Documentation of Best Practices, Tools and Methodologies for Good Governance including e-Tools
• Periodic Evaluation of Departmental Policies and Core Programmes
• Governance Audit to evaluate whether the Department remains focused on the Core Agenda
• Implementation of Action Research Projects aimed at improving Governance
• Change Management Programme for Implementation of Reform Action Plan and Good Governance.

Developing a Code of Good Governance

A Code of Good Governance may be formulated to guide the governance reforms process to meet the set goals and steer the transition of the nation to a developed and caring society based on core values such as honesty, discipline, hard work and collective sense of purpose. The Code for Good Governance may address the following aspects:

1. Effective and efficient delivery systems and mechanisms
2. Policy making structures and public management institutions
3. Rules, regulations and procedures that support institutions and systems.

The Code should cover all the aspects of the role and functioning of various governance institutions, their service delivery systems and the regulatory regimes supporting the institutions and delivery systems based on tested principles and practices. A Matrix for operationalising the Good Governance Code is depicted below:

Matrix for Operationalising Good Governance Code

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<th>Effective Service Delivery</th>
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Implementing Code of Good Governance

To implement the Code of Good Governance, the concerned governments and their agencies need to be on a mission mode to follow the Code with clarity, conviction, compassion and consistency, the prerequisites to achieve the vision while abiding by the principles of good governance.

1. Clarity promotes transparency, participatory and efficient governance;
2. Conviction promotes accountable and effective governance;
3. Compassion promotes consensus oriented, equitable and inclusive governance.
4. Consistency promotes responsive governance, follows the rule of the law and modernises itself according to the needs and changes of the society upholding the guiding principles of the Constitution.
Public Service Code of Conduct

Codes of Conduct for all those dealing with public affairs are needed to guide public affairs. Those dealing with public service may subscribe to the seven principles of probity in public life, recognized universally and applicable to all connected with discharge of duties towards the public:

1. Selflessness
2. Integrity
3. Objectivity
4. Accountability
5. Openness
6. Honesty
7. Leadership

Governance Audit

Public Institutions and members of the public services need to be brought under the purview of a periodic Governance Audit, which could be based on the following parameters:

1. Implementation of Core Governance Agenda – targets in respect of core indicators (10 most important items for each department/local body)
2. Implementation of Core Reform Agenda targets - in respect of key benchmarks (10 most important items for each department/local body)
3. Institutional Reform – agenda to be based on a consultative process
4. Reforms for effective delivery mechanisms – agenda to be based on a consultative process
5. Reforms for creation of regulatory frameworks that support institutions and delivery mechanisms and good governance – agenda to be based on a consultative process
6. Overall assessment of good governance in practice in terms of the characteristics of good governance, namely

   a. Participation
   b. Rule Of Law
   c. Transparency
   d. Responsiveness
   e. Equity and Inclusiveness
   f. Effectiveness
g. Efficiency  
h. Accountability  
i. Strategic Vision and Consensus Orientation.

An independent and professional authority at the national/state level may assess the implementation of the Code of Good Governance/Governance Reform Action Plan, which may eventually be based on MoUs between levels of government.

“We must be the change we wish to see in the world”.

Mahatma Gandhi

References
2. Citizen’s Charters

Introduction

As public services are funded by citizens, either directly or indirectly, they have the right to expect a particular quality of service that is responsive to their needs and which is provided efficiently at a reasonable cost. The Citizen’s Charter is a written, voluntary declaration by service providers that highlights the standards of service delivery that they must subscribe to, availability of choice for consumers, avenues for grievance redressal and other related information. It is a useful way of defining, with stakeholder involvement, the nature and quality of service delivery. In other words, a Citizen’s Charter is an expression of understanding between the citizen and the service provider about the nature of services that the latter is obliged to provide.

The Citizen’s Charter programme was first launched in 1991 in the U.K. as part of a series of initiatives aimed at enhancing standards of service delivery and making governance more transparent and accountable. This influenced several countries such as Belgium, France, Canada, Australia, Malaysia, Spain, Portugal, India etc. to adopt similar measures.

The process of adopting Citizen’s Charters in India began with a ‘Conference of Chief Secretaries of all States and Union Territories’ held in 1996 on “Effective and Responsive Administration.” This conference gave high priority to Citizen’s Charters and was followed by the development of an “Action Plan for Effective and Responsive Government” at the similar conference in 1997. One of the major decisions taken at this forum was to introduce Citizen’s Charters in the Departments of the Central and State Governments, especially those that had a large public interface such as the Railways, Telecom, and Public Distribution. Subsequently, many states have initiated Citizen’s Charters as tools for enhancing standards of service delivery and fostering greater public accountability.

Salient Features of a Citizen’s Charter

The salient features of a Citizen’s Charter are:

1. Agreed and published standards for service delivery;
2. Openness and information about service delivery;
3. ‘Choice’ and Consultation with users;
4. Courtesy and helpfulness in service delivery; and
5. Provision of redressal of grievances.

**Standards.** The Charter should lay out explicit standards of service delivery so that users understand what they can reasonably expect from service providers. These standards should be time-bound, relevant, accurate, measurable and specific. The actual performance vis-à-vis the standards adopted must be published and independently validated. The tendency among organizations to develop targets and standards based on their own convenience as opposed to the needs of the citizens must be avoided.

**Information and openness.** A key attribute of good service is the availability of relevant and concise information to the users at the right time and at the right place. The Charters should contain, in plain language, full and accurate information about services available, levels and quality of service to be expected, available channels for grievance redressal etc. Handbooks, guides, posters, websites are some channels to provide information to citizens.

**Choice and consultation.** The Charter should provide choice of services to users wherever practicable. There should be regular and systematic consultation with the users of the service to fix service standards and to ascertain quality of service delivery.

**Courtesy and helpfulness.** The Charter can help embed a culture of courteous and helpful service from public servants. In addition, small initiatives such as ‘name badges’, ‘May I help you’ counters etc. can go a long way in building customer confidence.

**Grievance redressal and complaints handling.** There is a strong link between the provision of quality service and effective handling of complaints. Firstly, by facilitating and responding to complaints, the causes for complaint can be reduced. Secondly, by identifying ‘trends’ in complaints, the service provider can resolve systemic and recurring problems.

**Developing and Implementing the Citizen’s Charter**

**How to develop the Charter**

Before undertaking a Citizen’s Charter initiative, an organisation must have clarity on why it is developing a charter and how it can establish the prerequisites for implementation.
An organisation should start by answering the following questions:

1. Do we need a Charter?
2. What are the objectives and the scope of a Charter for our organisation?
3. Are we clear about who our stakeholders are and how to get them engaged in the Charter initiative?
4. How should we involve the staff and take into account their views on what the Charter should provide?
5. How do we establish service standards and how do we relate those standards to existing performance criteria of the organisation?
6. What institutional infrastructure and governance arrangements are required to develop the Charter and are they in place?
7. What are the resource implications of developing a Charter – in terms of time and money (including payment of compensation to citizens for delivery failures)?

Formats and designs

The format and design of the Charter can influence the attitude of the public to the Charter initiative. The presentation of the Charter should interest people and convey a better image of the organisation.

Some key points in the Charter design are as follows:

- Keep the charter short and punchy;
- Use plain language, avoiding legalese and jargon;
- Produce the Charter in different languages so that all the citizens can understand;
- Use a common typeface throughout and just one font in each block of text;
- Make the Charter attractive but not too glossy – the front cover should draw people in but they should not wonder about the money that has been spent on producing the document.

Identifying and engaging with stakeholders

This is one of the most important aspects of developing and implementing a Charter. Without it the Charter is just a statement of intent rather than a live, meaningful – if voluntary – contract between the state and the citizen. This is a time-consuming and costly exercise and should be carefully planned.
A stakeholder is someone who has a stake or interest – direct or indirect - in the service being delivered. There is likely to be a wide range of stakeholders:

1. Users – the citizen representatives of the users, user groups, citizen advocacy groups, consumer organisations, parents (in the case of schools), politicians, users themselves and past and potential users;
2. Employees and employee representatives – who are involved in delivering services set out in the Charter; and
3. Suppliers – those involved in providing parts of the service, e.g., suppliers for the stamped papers for certificates, software vendors who design an IT application etc.

Once the stakeholders are identified, the next step is to engage them in meaningful discussion. If there is a Nodal Officer in the organisation in charge of the Charter, that individual should be responsible for devising a ‘stakeholder engagement plan’. The stakeholders should be met at least twice during the period of developing the Charter, firstly to ask their views on what should be included, and secondly to show them the Charter that has been developed as a result of their views. They should be engaged periodically thereafter, especially at the time of review of the Charter, which should take place annually.

**Establishing service standards**

Service standards are effectively the backbone of the Charter. It is, therefore, extremely important that they are developed according to the following guidelines.

1. They must be developed in consultation with citizens. Otherwise the standards set may not relate to aspects of service that citizens prioritise, or want as per expected levels;

2. They must be developed in collaboration with planning and performance departments so that other performance indicators are aligned with service standards published in the Charter; and

3. Standards must conform to TRAMS i.e. they must be **Time** bound, **Realistic**, **Achievable**, **Measurable** and **Specific**. For example, the standards should not say that officers will ‘do their utmost,’ a statement that is neither specific nor measurable.
Establishing a helpful institutional structure for the Charter

It is important to have a recognised focal point of responsibility within a department for the Charter. Evaluation of the Citizen’s Charter initiatives in many Government Departments has recommended the establishment of a Nodal Officer with clear reporting lines to senior management and with a brief to attend a government-wide Advisory Group on the Charter. Similarly, better public relations efforts will help raise awareness of the Charter as well as enable customer satisfaction.

Implementing the Citizen’s Charter

There are five broad areas involved in implementing the Charter. They are:

1. Generating awareness of the Charter;
2. Establishing citizen-friendly devices to bring the Charter to life;
3. Establishing a complaint handling system;
4. Establishing feedback mechanisms; and
5. Evaluating and reviewing the Charter.

How to generate awareness of the Charter?

Generating awareness of the Charter is, to a large extent, dependent on engaging with citizens to ascertain their needs and expectations. Regular dialogue with citizens’ advocacy groups, community-based organisations (such as user groups) and citizens can generate quick awareness of the Charter. Wide availability of the Charter and their prominent display can enhance awareness among citizens and users. The use of other forms of publicity such as audiovisual medium, print, open house meetings, Internet etc. can be made based on the profile of the users.

A formal process of review of the level of awareness should be undertaken through occasional surveys about the Charter. This should lead to a review of strategies used to raise awareness of the Charters.

How to establish Citizen-friendly devices to bring the Charter to life?

If the development stage of the Charter has been carefully executed, the implementation phase can be easier. Some practical means that can accompany the implementation of Charters are:
1. ‘May I help you’ counters;
2. Bi-annual customer needs analysis in collaboration with user groups;
3. Citizen Information Centre;
4. Direct Helpline;
5. Publication of Handbooks and Guides on the service provided;
6. One-stop-shops where citizens can do all their transactions in one place; and
7. Direct engagement with the customer, for example, telephoning or writing to them to seek their suggestions

How to introduce effective complaint management?

1. Designate a location in the office to receive complaints and make it accessible and visible to customers or develop a Call Centre for online service;
2. Acknowledge complaints:
   a. Personalise the response;
   b. Talk to customer, if possible;
   c. Use letters.
3. Develop a system for record-keeping;
4. Process, record, investigate and analyse complaints;
5. Keep the customer informed of the progress; and
6. Periodically analyse the complaints to identify trends.

How to get feedback?

One of the most important prerequisites for getting feedback is to make it easy for the citizen to provide it. This includes, among other things, ensuring that officials are available to see the citizens at the times specified. The different routes for feedback should include a combination of the following:

1. Over the counter at the service outlets;
2. By toll free telephone number;
3. Through regular post, e-mail, fax and telephone;
4. Via community and consumer organisations;
5. Consultative committees; and
6. Through periodic surveys.
How to Evaluate, monitor and review?

It is critically important that the system for evaluating performance against Charter standards is congruent with the department’s performance management system. That is, the standards in the charter should not be different from those of individual officials as per their job description or as set out in their departmental indicators. Other forms of evaluation, such as exit polls for user groups and use of surveys and feedback forms give a good indication of the quality of services.

Evaluation should take place regularly. This should be IT-enabled so that data can be analysed in real-time and reports generated automatically on service failures. Self-assessment should be practised with staff to assess how well they think they are delivering services. This can be compared against feedback from customers. External feedback can take a variety of forms:

1. Face to face feedback with users visiting the office;
2. Feedback forms provided to users at the counter;
3. Using the services of voluntary organisations (for example, research organisations, consumer activists, universities, colleges, etc.);
4. Media reports; and
5. Charter Mark system – a formal way for the government to provide feedback through competitive benchmarking of Charters across different departments.

Citizen’s Charter programme in Andhra Pradesh

A number of government departments and districts in Andhra Pradesh have developed their own Citizen’s Charters. More than 10 departments and 250 local offices have developed citizen’s charters. The Centre for Good Governance has assisted many departments to develop and implement the charters. Simultaneously, change management programmes have been undertaken to orient government functionaries towards adopting citizen’s charters. The implementation of the citizen’s charters and their impact on service delivery is continuously evaluated through exit polls.
Key Lessons from Evaluations

The following pitfalls need to be avoided:

1. Since Citizen’s Charters are likely to raise the aspirations of the users of the service, the departments should guard against the tendency to promise more than they can deliver. A realistic assessment of the capabilities of the service provider must be taken into account in drafting the Charter.
2. A critical review of the current systems and processes in the department should be undertaken to examine whether they are likely to have an adverse impact on the Charter.
3. Implementing the Charters without the staff owning them will defeat the purpose of the Charter. Motivating the staff and involving them in the preparation of the Charter are extremely important.
4. The Charters will remain merely a paper exercise of limited value if there is no consultation with the users. Departments should ensure user involvement at all stages of preparation and implementation of the Charter;
5. Independent audit of results is important after a period of implementation of the Charter.
6. Complex systems for lodging complaints or poor access to officers for redressal of grievances defeat the purpose and the spirit of the Charter;

The critical success factor in the entire Charter initiative is developing close relationships with stakeholders throughout the cycle of the charter, from inception and development of standards to raising awareness, to monitoring and reviewing, and determining appropriate compensation for redressal of grievances. At the same time, administrative commitment to change is imperative for sustaining the Charter initiative and enhancing service delivery standards.

References

2. Centre for Good Governance, Handbook on Citizen’s Charters, 2004
3. Citizen Report Cards

Context

One of the key components of good governance is the accountability of the government towards its citizens, especially in the provision of public services. In the absence of competition or a mobilized citizenry, the government has little incentive to improve its public service delivery. Also, user feedback which is a cost-effective way for a government to find out whether its services are reaching the people, especially the poor, is not a method that is being used by most developing country governments. The continuing neglect of the quality of services is in part a consequence of this.

This paper describes the use of “Citizen Report Card” (CRC) as a tool to build greater accountability and facilitate improvements in public service delivery. The Citizen Report Card is an assessment of public services by the users of public services (citizens) through survey methods. The decade long experience of the Public Affairs Centre (PAC), a Bangalore based civil society organization, in producing and disseminating citizen report cards provides the backbone for this tool.

Purpose of the CRC

Citizen Report Cards (CRCs) are participatory surveys that solicit user feedback on the performance of public services. But they go beyond being just a data collection exercise to being an instrument for exacting public accountability through extensive media coverage and civil society advocacy that accompanies the process.

The following are the objectives of Citizen Report Cards:

1. CRCs firstly close the information gap between the providers and users of public services.
2. The Report Cards provide coherent and credible information which the government, the citizen and the civil society can use effectively.
3. The heads of the public service agencies can use the data to start the process of internal reforms. The local residents and the civil society groups can also use CRCs to demand improvements in the provision of services.
Thus, the CRCs can create public awareness, strengthen civil society initiatives and enable the government to initiate reforms and in the process build social accountability.

**Description**

A Citizen Report Card on public services is not just one more opinion poll. Report cards reflect the actual experience of people with a wide range of public services. The survey on which a report card is based covers only those who have had experiences in the use of specific services, and interactions with the relevant public agencies. Users possess fairly accurate information, for example, on whether a public agency actually solved their problems or whether they had to pay bribes to officials. Of course, errors of recall cannot be ruled out. But the large numbers of responses that sample surveys generate lend credibility to the findings.

CRC data aggregates scores given by users for the quality and satisfaction with different services like health, education, police, etc. or scores on different performance criteria of a given service, such as availability, access, quality and reliability. The findings thus present a collective quantitative measure of overall satisfaction and quality of services over an array of indicators.

Stratified random sample surveys using well-structured questionnaires are the basis on which report cards are prepared. It is generally assumed that people from similar backgrounds in terms of education, culture, and so forth, are likely to use comparable standards in their assessments. But these standards may be higher for higher income groups than for the poor whose expectations about public services tend to be much lower. Dividing households into relatively homogenous categories is one way to minimize the biases that differing standards can cause.

**Steps involved in the preparation of a report card**

The following are the steps in the preparation of a Report Card:

**Step 1. Pre-survey groundwork**

At the start of the process, the objectives of the CRC must be identified. Among a cluster of actors, or stakeholders to be identified, the most important is to be clear on the scope of the evaluation: a sector, industry, or unit of service provision. The
objectives directly shape the sampling method, questionnaire design, kind of analysis and advocacy. Focus group discussions with service providers and a cross section of local residents are useful to identify the services and topic to cover.

Administration of a report card initiative is a technical exercise. Therefore, one needs to identify credible policy institutes, NGOs or professional research organizations who can undertake the exercise. Respectability of the intermediary organization directly affects the credibility of the findings.

**Step 2. Questionnaire design**

Following the identification of stakeholders, focus group interactions to provide inputs to design questionnaires are necessary with at least the two constituencies – the providers of service and its users. Providers of service can indicate not only what they have been mandated to provide, but also areas where feedback from clients can improve their services. Similarly, users can sound out initial impressions of the service, so that areas that deserve extensive probing can be catered to. Based on the inputs from the focus groups and the objectives of the study, the questionnaire for the survey needs to be designed.

The structure and size of the questionnaire need to be defined, keeping in mind that there is a trade-off between detail and time. Mechanisms to make the sessions mutually convenient to the enumerator and the respondent have to be worked out. A useful practice is to break the questionnaire into different modules that are answered by different members of the household. Demographic statistics of the respondents (sex, age, family size, ethnicity etc.) and income/expenditure patterns should also be included in a separate module.

Time also must be allocated to design the questionnaire, test it and finalise the sampling technique. Working with the service provider during the questionnaire design will also make it easier to share findings during the dissemination stage and during follow-up initiatives to improve service delivery.

**Step 3. Sampling**

First, the sample size has to be determined. Usually, the larger the sample size, the better, but this has to be weighed against budgetary, time, and human resource constraints. The key is to aim for greater representativeness rather than a plain expansion of numbers.
After an appropriate sample size has been determined, the sampling frame has to be decided. Allocations will have to be made for different geographic regions. The standard principle is to use multi-stage probability sampling with probability proportional to the size of population.

It is useful to ensure that at least one sample precinct is assigned to all geographical regions covered. Sample households (the ultimate unit of analysis) are then chosen from each precinct. Third, within sample households, sample respondents have to be chosen. Usually, the head of the family is approached for answers, but on the whole respondents should be of different genders and ages. If questionnaires are lengthy and broken into modules, s/he may assign other members to answer different modules. This is also important since different household members use different services.

**Step 4. Execution of the survey**

The survey process usually takes 8 to 10 weeks depending on the sample size, questionnaire length, and number of investigators. Prior to starting the survey process, training should be held to reinforce uniformity among the investigators. Strict guidelines for data collection must be outlined and clearly articulated for the field staff. One supervisor should oversee this stage of the report card study and enforce adherence to the data collection process through close supervision. To ensure that recording of household information is being done accurately, spot monitoring of interviews at random as well as back-checks should be undertaken in phases after a proportion of interviews are complete. After completing each interview, enumerators should go over the information collected and identify inconsistencies. Once the record is deemed satisfactory, it is inputted into standardized data tables.

**Step 5. Post-survey analysis**

Following the collection of questionnaires, the data is entered into a central database. The data can be analysed using several methods. These include simple techniques of averages, proportions, data ranges, frequency and mid point, as well as more technical analytical tools. The techniques used should match the objectives of the CRC.

The interpretation process can be undertaken by any number of people who possess a good understanding of the problem. In fact, the inclusion of multiple perspectives of this stage can greatly enrich the overall impact of the findings.
Step 6. Preparation of the report card

The ratings of representative users on the various questions are then aggregated, averaged, and a satisfaction score expressed as a percentage. This is what will be read like a ‘report card’. It is at this stage that the report card becomes tangible. The analysed and interpreted survey data can be organized into various formats for the intended audience.

Step 7. Dissemination and advocacy

The CRC should not be seen as research that ends with a completed text document. Findings should be disseminated through the media, open houses, public meetings and presentations to service providers. To enable a non-technical audience to assess the accuracy of the findings, media releases should stress the following points:

1. Who was surveyed, when were they contacted, the method of contact, and the size of the sample;
2. The response rate;
3. The major issues that were explored;
4. Analysis of the responses;
5. Identified problem areas; and

The Third Citizen Report Card on Public Services in Bangalore

Bangalore has seen a wide range of civic reforms since 1999. Has this made a difference to its citizens? Public Affairs Centre’s third “citizen report card” on civic services in the city of Bangalore highlights the significant improvement in the satisfaction of residents of this city with the services. This citizen report card is based on feedback from over 1700 middle income and poor households in the city, collected through a survey carried out jointly by Public Affairs Centre (PAC) and AC Nielsen ORG-MARG, in mid 2003.

Over the last decade, PAC has brought out three citizen report cards, in 1994, 1999 and 2003. Unlike other technical and financial assessments of services, the citizen report card throws light on how users benefit from the services and the extent they are satisfied with the service they receive. The third citizen report card covers the following public agencies such as Bangalore Municipal Corporation (BMP), Bangalore Development Authority (BDA), Bangalore Electricity Company (BESCOM), Bangalore Water Supply and Sewerage Board (BWSSB), Bangalore Metropolitan Transport Corporation (BMTC), Bharat Sanchar Nigam Limited (BSNL), Bangalore Police, Public Hospitals Road Transport Authority (RTO).

The satisfaction of citizens of Bangalore, across all services, has increased significantly over the four year period. The Chart below shows the satisfaction levels in 2003.
Of the nine agencies on which citizens of Bangalore provided feedback, all have received satisfaction ratings above 70% this time in contrast to less than 40% in 1999. From these findings, an observer can conclude that the changes reported converge and cumulate, and indicate the depth to which improvements have taken place.

Thus, report cards can put the spotlight on public services and the resultant “glare”, over time, would draw the attention of service providers, policy makers and donor agencies to catalyze focused corrective action to improve service quality.

Source: http://www.pacindia.org

Who can use this Tool?

To conduct a CRC, an entity should be:

1. A credible part of the city or sector where the effort is launched;
2. Non-partisan;
3. Committed to long term change;
4. Skilled in understanding survey techniques and quantitative analysis;
5. Experienced in working with multiple constituents.

Civil Society organizations or any independent agency apart from the government that could satisfy the above criteria are best suited to take up CRCs. Also the Report Card process requires a considerable duration of time in which different stakeholders begin to understand each other and establish working relationships.
Key Success Factors

The key success factors in using the report card as an accountability tool are the credibility and non-partisan nature of the agency conducting it and the attitude of different stakeholders. All the stakeholders involved in the process can benefit from it. To help translate CRC findings as a catalyst for reform, it is essential for the agency conducting it to have strong public advocacy skills.

Institutionalization

CRC initiatives, especially those that arrive as one-off experiments, will serve little long-term purpose unless implementation is followed by efforts at institutionalization. How these efforts are to be institutionalized should warrant some thought at the outset. Institutionalization is also important to exploit the usefulness of credible report cards by making them more than psychological pressure tools on service providers. Ideally, governments can use report cards for performance-based budgeting and link public opinion with public spending. Service providers and Ministries can in turn link CRC findings with their internal management and incentive systems.

Institutionalization efforts depend heavily on political commitment. That being said, CRCs often provide the needed impetus for reform-minded politicians to tackle bureaucratic inertia and vice-versa. Only then can CRCs be the ideal catalyst for mobilizing demand for accountability and reform.

References

4. Community Score Cards

Introduction

The Community Score Card (CSC) process is a community-based monitoring tool which is a hybrid of the techniques of social audit, community monitoring and citizen report cards. Like the Citizen Report Card, the CSC process is an instrument to exact social and public accountability and responsiveness from service providers. However, by including an interface meeting between service providers and the community that allows for immediate feedback, the process is also a strong instrument for empowerment as well.

The CSC process uses the “community” as its unit of analysis, and is focused on monitoring at the local/facility level. It can therefore facilitate the monitoring and performance evaluation of services, projects and even government administrative units (like districts) by the community itself. Since it is a grassroots process, it is more likely to be of use in a rural setting.

Using a methodology of soliciting user perceptions on quality, efficiency and transparency similar to citizen report cards, the CSC process allows for (a) tracking of inputs or expenditure (e.g., availability of drugs) (b) monitoring of the quality of services/projects (c) generation of benchmark performance criteria that can be used in resource allocation and budget decisions (d) comparison of performance across facilities/districts (e) generating a direct feedback mechanism between providers and users (f) building local capacity and (g) strengthening citizen voice and community empowerment.

The Components of the CSC Process

The purpose of the exercise is not just to produce a score card, but to use the documented perceptions and feedback of a community regarding certain services, to actually bring about an improvement in its functioning. For this reason the implementation of a comprehensive CSC process, does not stop at just the creation of a CSC document that summarizes user perceptions. Instead, the CSC process involves four components:
1. Input tracking score card
2. Community generated performance score card
3. Self-evaluation score card by service providers, and
4. The interface between users and providers to provide respective feedback and generate a mutually agreed reform agenda.

**Figure 1**
The Four Components of the Community Score Card Process

The stages involved in implementation

The above four components of the CSC process require a fair deal of preparatory groundwork as well as follow-up efforts towards institutionalizing the process into governance, decision-making and management of service provision at the local level. Thus, all in all, we can divide the CSC process into *six key stages* – (i) preparatory groundwork, (ii) developing the input tracking score card, (iii) generation of the community performance, (iv) generation of the self-evaluation score card by facility/project staff, (v) the interface between community and providers, and (vi) the follow-up process of institutionalization.
Flowchart of Stages in Comprehensive Community Score Card Process

Preparatory Groundwork and Organization
- Find and train good facilitating staff, e.g., Community Development Assistants
- Study Poverty Mapping if available, or do preliminary research on community
- Tell community about purpose of initiative and need to participate
  - Organize community gathering

Community Gathering

Input Tracking Matrix
- Divide into Focus Groups
- Give Information on Entitlements/Budgets
- Develop Input Indicators
- Collect Evidence on Input Use/Expense
- (Optional) Visit Output Site and Check
- Record findings in input tracking matrix

Community Score Card
- Divide into Focus Groups
- Develop Performance Indicators
- Finalize indicators (5-8 max.)
- Ask Groups to Score Each Indicator
- Ask Groups to Explain High/Low Scores
- Record findings in community scorecard

Interface Meeting

Feedback and Dialogue
- Accountability
- Efficiency
- Transparency
- Empowerment
- Development
Preparatory Ground Work

First, identify the scope of the monitoring or performance evaluation – the sector (health, education etc.) which is going to be evaluated. The sample space of village clusters that will be used for the exercise must also be defined. Second, given the high degree of facilitation and mobilization required in the CSC process it is important to find people or groups within the sample area who can help with the implementation of the score card. These can include traditional leaders, members of local governments and workers at the service facilities in the region, community volunteers and staff from local/international NGOs. Third, as the process of drawing out community perceptions is done via a community meeting, one must ensure that the latter has broad participation from all parts of the community in the village cluster. For this purpose, the meeting must be preceded by full-scale mobilization of people in the community through an advocacy/awareness generating campaign that informs people about the purpose and benefits of the CSC. Fourth, a preliminary stratification of the community based on usage of the service that is being evaluated needs to be undertaken. This includes finding out first who uses what, followed by how much, and the demographic and poverty distribution of usage.

Development of the Input Tracking Score Card

In order to be able to track inputs, budgets or entitlements one must start by having data from the supply side about these. Therefore, the first job is clearly to obtain this supply-side data. This can be in the form of (a) inventories of inputs like drugs, textbooks, furniture etc. (b) financial records or audits of projects (c) budgets and allocations of different projects, or (d) entitlements based on some kind of national policy (e.g., one textbook per child). This information must be presented to the community so that they know their ‘rights’ and providers their ‘commitments.’

Thereafter, one needs to divide participants into focus groups based on their involvement in the service/project, – e.g., workers, aid receiving households, facility staff, users etc. Usually one needs to separate the providers from the community, and then sub-divide each group. Using the supply-side information above, and the discussions in the sub-groups one needs to finalize a set of measurable input indicators that will be tracked. These will depend on which project or service is under scrutiny. Examples include the wages received for different work programs, food rations or drugs received etc.
The next step is to ask for and record the data on actuals for each input from all the groups and put this in an input tracking score card as shown in Table-1 below. Wherever possible every statement of any particular group member should be substantiated with some form of concrete evidence (receipt, account, actual drugs or food, etc.). In the case of physical inputs or assets one can inspect the input (like toilet facilities, number of drugs present in the village dispensary etc).

Table-1: An example of what an Input Tracking Score Card looks like

<table>
<thead>
<tr>
<th>Input Indicator</th>
<th>Entitlement</th>
<th>Actual</th>
<th>Remarks/Evidence</th>
</tr>
</thead>
<tbody>
<tr>
<td>Textbooks per child</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Children per class</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Sanitation Facilities</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Furniture per classroom</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Wages of Teachers</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Generation of the Community Generated Performance Score Card

Once the community has gathered, the facilitators need to classify participants in a systematic manner into focus groups. The most important basis for classification must be usage, in order to ensure that there are a significant number of users in each of the focus groups. Each group should further have a heterogeneous mix of members based on age, gender, and occupation so that a healthy discussion can ensue. Each focus group must brainstorm to develop performance criteria with which to evaluate the facility and services under consideration. The facilitators must use appropriate guiding or ‘lead-in’ questions to facilitate this group discussion. The facilitating team must ensure that everyone participates in developing the indicators so that an objective criterion can be designed. Ideally, the set of community-generated-performance-indicators should not exceed 5-8.

Having decided upon the performance criteria, the facilitators must ask the focus groups to give relative scores for each of them. The scoring process can take separate forms – either through a consensus in the focus group, or through individual voting followed by group discussion. A scale of 1-5 or 1-100 is usually used for scoring, with the higher score being ‘better’.

In order to draw people’s perceptions better it is necessary to ask the reasons behind both low and high scores. This helps explain outliers and provides valuable information and useful anecdotes regarding service delivery. The
process of seeking user perceptions alone would not be fully productive without asking the community to come up with its own set of suggestions as to how things can be improved based on the performance criteria they came up with. This is the last task during the community gathering, and completes the generation of data needed for the CSC. The next two stages involve the feedback and responsiveness component of the process.

A Sample Community Generated Performance Score Card for Health

<table>
<thead>
<tr>
<th>Community generated criteria</th>
<th>Score</th>
<th>Remarks</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>1 Very Bad</td>
<td>2 Bad</td>
</tr>
<tr>
<td>Availability of staff</td>
<td>Score: %:</td>
<td></td>
</tr>
<tr>
<td>Availability of ambulance</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Availability of drugs</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Availability of furniture</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Attitudes of staff</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Generation of self-evaluation Score Card by facility staff

In order to get the perspective of the providers, the first stage is to choose which facilities will undertake the self-evaluation. This choice depends to a large extent on the receptiveness of the staff at the facility. So, there is a need for some advocacy about the purpose and use of the CSC process. Second, as with the community, the facility staff need to go through a brainstorming session to come up with their own set of performance indicators. These should then be classified in a manner that is easily comparable with the indicators chosen by the community.

As in the community gathering, the staff of the facility (be it a school, or health clinic) need to fill in their relative scores for each of the indicators they came up with. These are again averaged to get the self-evaluation score card. The facility staff, too, needs to be asked to reflect on why they gave the scores they did, and also to come up with their own set of suggestions for improving the state of service delivery. One can even ask them what they personally consider would be
the most important grievances from the community’s perspective, and then compare and see the extent to which the deficiencies are common knowledge.

**Interface between community and facility staff**

Both the community and providers need to be prepared for the interface meeting. This final stage in the CSC process holds the key to ensure that the feedback of the community is taken into account and that concrete measures are taken to remove the shortcomings of service delivery. To prepare for this interface, therefore, it is important to sensitize both the community and the providers about the feelings and constraints of the other side. This ensures that the dialogue does not become adversarial, and that a relationship of mutual understanding is built between client and provider. The sensitization task can be done through a series of training sessions with members of both sides, and through sharing the results of the two score cards.

A major task for the implementing team will then be to ensure that there is adequate participation from both sides. This will require mobilization at the community level, and arrangements so that the facility staff is able to get away from their duties and attend the meeting. One can further involve other parties, like local political leaders, and senior government officials in the interface meeting to act as mediators, and to give it greater legitimacy.

Once both the groups have gathered in a meeting, the implementing team has to facilitate dialogue between the community and the service providers and help them come up with a list of concrete changes which they can implement immediately. This will give credence to the entire process from both the community’s and provider’s perspectives, and make it easier to undertake such exercises in the future. Senior government officials and/or politicians present can also endorse such reforms.

**Follow-up and institutionalization**

CSC initiatives, especially those that arrive as one-off experiments, will serve little long-term purpose unless implementation is followed through on a sustained basis. Both demand and supply side measures can be undertaken to ensure this institutionalization. From the supply side, the key is to get local governments and district assemblies to create forums for feedback from communities via the CSC so that performance-based policy action can be taken. The regional and national governments can integrate CSC findings in their
decentralization programme, by making the results of the score cards the basis for allocation of resources or performance-based incentives across local governments, sectors and/or facilities.

From the demand side, community based organizations can train their staff on how to conduct a CSC, so that they become the institutions responsible for undertaking the exercise on a sustained basis. Links can also be made with existing community organizations such as parent-teacher associations, or health committees, so that they get involved in facilitating and implementing CSC processes. This will reinforce the sustainability and legitimacy of the process.

Finally, various indirect uses of the data and findings of CSCs can be promoted by ensuring that the information contained in them is disseminated into the public domain. This can be done via grassroots media like community radio, or through the national press and television.

This note was prepared by Janmejay Singh and Parmesh Shah of the Social Development Department at the World Bank. It is derived largely from the work by CARE’s work in monitoring the performance of Health Services in Malawi through a community score card.
5. People’s Estimate

Introduction

Development of the rural hinterland requires the creation of basic rural infrastructural facilities in the form of roads, schools, health facilities, water supply & water harvesting structures, community halls etc. Public works constitute a major part of government expenditure and several engineering departments are involved in executing public works. They are carried out on an extensive scale by the Irrigation and Command Area Development, Panchayat Raj, Public Health, Roads and Buildings, Tribal Welfare, Housing and other departments. However, the execution of public works by government departments reflects significant inadequacies such as poor quality, time and cost overruns, rampant corruption, lack of transparency and accountability, low relevance to local needs among others.

To address these inadequacies, it is necessary to evolve participatory mechanisms at the local level to conduct public works. People’s Estimate as a participatory device has been experimented in the East Godavari District of Andhra Pradesh with success. This toolkit takes into account the experience of East Godavari.

The concept of People’s Estimate

The People’s Estimate is an estimate that can be prepared in local language through a participatory process by using similar standard specifications but based on local market rates and local units. Execution of public works through the People’s Estimate entails a participatory process whereby public works can be undertaken at the local level through people’s participation in estimate-design, execution and monitoring of works.

The process of preparation of People’s Estimate and subsequent monitoring and execution of rural works can:

1. Ensure greater participation and ownership by the local people
2. Make the public work process more comprehensible to the local people.
3. Enable more realistic estimates based on local rates
4. Ensure better quality of public works
5. Enable adherence to timeframe for work completion
6. Check corruption
7. Enhance accountability and transparency in the execution process

Flow Chart of Activities

- Identification of Source of Funds
  - Identification of Work
    - Administrative Sanction
    - Technical Sanction to Government Estimate
      - Preparation of People’s Estimate
        - Public Meeting
          - Constitution of Works Committee and Village Vigilance Committee
            - Execution of Works
              - After 50% of Work
                - Public Meeting
              - After 100% of Work
                - Public Meeting

- Release of Funds to Grama Panchayat
Identification of the source of funds

At the outset, the various sources of funds for the works proposed under the purview of Grama Panchayat need to be identified. These sources could be general funds from the Panchayat, State Scheme funds, Central Scheme funds, relief funds, Decentralized Plan Funds, Finance Commission Funds, community funds etc.

Identification of works

Soon after the source of funds is identified, the work should be identified by the Panchayat, based on the immediate needs of the village. The following minor works under the purview of Panchayat can be taken up by people themselves by forming Committees:

1. Link roads, Internal roads
2. Drains
3. School Buildings, Library Buildings, Community Halls
4. Anganwadi Buildings
5. Community Latrines
6. Protected Water Supply Schemes, Water Harvesting Structures
7. Bore wells (for Drinking water)
8. Vegetable Markets
9. Minor Irrigation Sources, Percolation Tanks, Check Dams
10. Maintenance of assets already created.

Preparation of government estimate & sanction for works

Government Estimates would need to be prepared for each work identified by departmental engineers according to the standard specifications and the basic schedule of rates.

Administrative sanction must be obtained for each of the works being undertaken from the funding authority namely, the Grama Panchayat, the Mandal Parishad, the Zilla Parishad or the District Manager. After obtaining the necessary administrative sanction, technical sanction to the Government Estimate should be accorded by the departmental engineers as per the powers vested in them.
The required funds should be credited to the account of Grama Panchayat immediately after relevant administrative sanctions are accorded. This will help to complete the works within the specified time frame.

**Preparation of the People’s Estimate**

The People’s Estimate is prepared after administrative and technical sanctions have been accorded to the Government Estimate.

1. The people’s estimate should be prepared in local language through a participatory process by using similar standard specifications based on local market rates and local units;
2. The same engineers preparing the Government Estimate should prepare the People’s Estimate also;
3. The market rates for the required construction materials should be ascertained with the cooperation of the committee members;
4. Consultant engineers can also be entrusted with preparation of the Government Estimates as well as People’s Estimates;
5. Minor works under the purview of Panchayat can be taken up by people themselves by forming committees.

**Organizing a public meeting**

The first public meeting should be organized soon after obtaining administrative sanction for any work. In this public meeting,

1. All the provisions made in the Government Estimate and People’s Estimate should be displayed on a board before all the participants.
2. The participants should be informed about the market rates indicated in the People’s Estimate to and their suggestions should also be taken into consideration.
3. People’s committees should be constituted, by identifying capable persons from the community
   a) A works committee to undertake the work in the village
   b) A vigilance committee to monitor and inspect the works undertaken
**Constitution of People’s Committees**

**Works Committee**

A Works Committee should be formed to take full responsibility for the execution of work(s). The jobs such as land acquisition, holding discussions with the engineers, purchase of required materials at market rates, safe storage of materials, ensuring quality of the purchased material, bargaining with the labour about skilled personnel, supervision on them and on the work and ensuring quality of the work are all the responsibilities of the Works Committee. It is the sole responsibility of the Works Committee to complete the construction within the agreed time frame.

The members of the Works Committee identified during the first public meeting should elect a President. All residents of the village are eligible to become members of the Works Committee. The committee should consist of at least 2 women members. The Sarpanch or Panchayat members cannot be made members of the Works Committee. Additionally, the Works Committee should not sub-let the work to a contractor under any circumstances.

**Vigilance Committee**

Similarly, a Vigilance Committee should be formed to keep watch on the style of functioning of the Works Committee, to ensure proper quality of works and to identify/rectify lapses, if any. The members of the Vigilance Committee should be selected during the first public meeting. The members of the Vigilance Committee should be selected from the beneficiaries only. It is better to select only knowledgeable villagers as members from the lanes/area where the works are being proposed to be taken up. It is also essential to encourage women to become members of the Vigilance Committee.

The key responsibility of the Vigilance Committee is to ensure high quality standards in the execution of works. The Vigilance Committee should help and guide the Works Committee while assessing the market rates. If the directions given by the Vigilance Committee are not honoured by the Works Committee, such issues should be brought to the notice of the community during the public meetings.
Agreement

In the process of taking up and completing a work, an agreement must be signed by the two parties (the authority ordering the party to do the work and the party doing the work) called the ‘Articles of Agreement’.

For the works taken up with the Panchayat funds, one party would be the Grama Panchayat and the other party would be the Works Committee. For all other works, one party would be the Deputy Executive Engineer, and the other party would be the Works Committee.

One of the most important clauses of the ‘Articles of Agreement’ is the time frame for completing the work. Both the parties signing the agreement should cooperate with each other to complete the work within the agreed time frame.

Execution of works

Execution of works can only take place after technical sanction and after constitution of Works and Vigilance Committees. The Engineer preparing the Government Estimate should work out the schedule of number of instalments for making payments and the amount to be paid for each instalment and incorporate the same in the agreement before the agreement is signed by the Works Committee. Along with the estimate, the plan, reinforcement required, etc. for various phases of the construction should be prepared and approved as per standards, and the copies of the same should be handed over to the Committee on the same day of concluding the agreement. The efficiency of the workers and labour should be assessed from time to time and necessary action should be taken. Necessary training should be imparted to the committee members to assume the responsibility of taking up works.

Second public meeting

After completing 50% of the work, an estimate of the work should be prepared. Similarly, a work-estimate as per the concept of People’s Estimate, should also be prepared. The difference between the Government Estimate and People’s Estimate can be known and also whether it is possible to take up any extra works with the savings.

The Second Public Meeting should be conducted in the same public place where the First Public Meeting was conducted and the details of the work-estimates
should be written on a big board and kept before the meeting for the perusal of the public. These details should be explained and all doubts should be cleared in the meeting.

The meeting should approve the market rates indicated in the People’s Estimate. The details of materials purchased, their costs, utilization and balance should be discussed. The additional works to be taken up with the anticipated savings should be decided after completion of the work and a resolution should be passed to that effect.

The style of functioning and performance of the Works Committee on the basis of the work completed so far should be reviewed in detail along with issues related to quality and timeliness of construction.

Third public meeting

After the completion of construction, the third public meeting should be organized. The meeting should ascertain whether there was total transparency in the functioning style of the Committees. Detailed discussions should be held about the materials used, their cost, remaining balance etc. The meeting should also discuss the details of receipt of funds and expenditure incurred.

The value of total work, as per the measurements and as per expenditure incurred by the Works Committee based on market rates, should be worked out and payment should be made only for the lowest value of the two. The meeting should also certify the quality of construction. If it is not satisfied, the persons responsible should be identified and actions be taken for lapses, if any.

The meeting should satisfy itself about the role of Vigilance Committee during the process of construction and evaluate its performance. If any petitions are received during the process of construction, the same should be discussed and proper remedial measures should be taken.

Maintenance of public assets

Maintenance of the public assets created is as important as the creation of public assets. It is the responsibility of Grama Panchayat to arrange required funds for the maintenance of the assets.
For timely maintenance of assets, the details of the assets should be maintained in an assets register. Full details of repairs on the assets, expenditure incurred should be entered in the register from time to time. The assets register should be placed before the community during the Grama Sabha/public meetings.

**Key success factors**

Political will and administrative cooperation are basic factors required for institutionalizing the people’s estimate as a process for execution of rural public works. At the same time, it is important to recognize the fact that the role of the community is central to the success of this social accountability mechanism. As partners in this process, the community should involve itself by taking ownership and working in a cohesive manner.

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**People’s Estimate in East Godavari District, Andhra Pradesh**

The experience of ‘People’s Estimate’ in East Godavari district can provide key inputs for facilitating people’s participation in rural public works. Under the leadership of the District Manager, the administration in East Godavari initiated a large number of works with people’s participation in 2001.

The entire district administration and Panchayat Raj Engineering Department were involved in the exercise. At the request of the District Manager, the Hon’ble Members of Parliament and Members of Legislative Assembly also participated and extended their support. The then Hon’ble Speaker of Lok Sabha also participated in the public meetings and helped to accelerate the pace of taking up works under the concept of People’s Estimate.

As a result, many rural development works were successfully taken up in East Godavari District under the concept of People’s Estimate. Though all the payments were made by the Panchayat Raj Engineers, all other activities under the concept of People’s Estimate were carried out by the People’s Committees. The positive experience of this concept from East Godavari clearly provides a case for extending it to other parts of the state and the country.

The Panchayat Raj Department of the Government of Andhra Pradesh passed a Government Order in 2004 making people’s estimate mandatory for all rural works below Rs. 25000.

**References**

Centre for Good Governance, *People’s Estimate – Procedural Guidelines, 2005*
6. Social Audit

Introduction

Governments are facing an ever-growing demand to be more accountable and socially responsible and the people are becoming more assertive about their rights to be informed and to influence governments' decision-making processes. Faced with these vociferous demands, the executive and the legislature are looking for new ways to evaluate their performance. Civil society organisations are also undertaking "Social Audits" to monitor and verify the social performance claims of the organisations and institutions.

Social Audit is a tool with which government departments can plan, manage and measure non-financial activities and monitor both internal and external consequences of the department/organisation’s social and commercial operations. It is an instrument of social accountability for an organisation. In other words, Social Audit may be defined as an in-depth scrutiny and analysis of the working of any public utility vis-à-vis its social relevance. Social Audit gained significance especially after the 73rd Amendment of the Constitution relating to Panchayat Raj Institutions.

Purpose of Social Audit

This tool is designed to be a handy, easy to use reference that not only answers basic questions about Social Audit, reasons for conducting Social Audit, and most importantly gives easy-to-follow steps for all those interested in using Social Audit.

The purpose of conducting Social Audit is not to find fault with the individual functionaries but to assess performance in terms of social, environmental and community goals of the organisation. It is a way of measuring the extent to which an organisation lives up to the shared values and objectives it has committed itself to. It provides an assessment of the impact of an organisation's non-financial objectives through systematic and regular monitoring, based on the views of its stakeholders.
Salient Features

The foremost principle of Social Audit is to achieve continuously improved performance in relation to the chosen social objectives. Eight specific key principles have been identified from Social Auditing practices around the world. They are:

1. **Multi-Perspective/Polyvocal.** Aims to reflect the views (voices) of all those people (stakeholders) involved with or affected by the organisation/department/programme.

2. **Comprehensive.** Aims to (eventually) report on all aspects of the organisation’s work and performance.

3. **Participatory.** Encourages participation of stakeholders and sharing of their values.

4. **Multidirectional.** Stakeholders share and give feedback on multiple aspects.

5. **Regular.** Aims to produce social accounts on a regular basis so that the concept and the practice become embedded in the culture of the organisation covering all the activities.

6. **Comparative.** Provides a means, whereby, the organisation can compare its own performance each year and against appropriate external norms or benchmarks; and provides for comparisons with organisations doing similar work and reporting in similar fashion.

7. **Verification.** Ensures that the social accounts are audited by a suitably experienced person or agency with no vested interest in the organisation.

8. **Disclosure.** Ensures that the audited accounts are disclosed to stakeholders and the wider community in the interests of accountability and transparency.

The following figure depicts the principles of Social Audit and universal values:
These are the pillars of Social Audit, where socio-cultural, administrative, legal and democratic settings form the foundation for operationalising Social Audit. The Social Audit process is intended as a means for social engagement, transparency and communication of information, leading to greater accountability of decision-makers, representatives, managers and officials. The underlying ideas are directly linked to concepts of democracy and participation. The application of Social Audit at the village level holds tremendous potential for contributing to good local governance and increased transparency and accountability of the local bodies.

Who can use the Tool?

Social Audit Toolkit can be used by government departments, private enterprises as well as the civil society. However, the scope in terms of audit boundaries would be specific to that of a government department, private organisation, an NGO or a community. In case of private organisations, the emphasis may be on balancing financial viability with its impact on the community and environment. In case of NGOs, in addition to using them to maximise the impact of their intervention programme, they could also be used as effective advocacy tools. Depending on the resources available Social Audit could be comprehensive, state-wide, and can also be localised to the community level.
Applying the Tool

The six steps of Social Auditing are:

1. Preparatory activities
2. Defining audit boundaries and identifying stakeholders
4. Preparing and using social accounts
5. Social audit and dissemination
6. Feedback and institutionalisation of social audit

The first two steps are critical when a department decides to incorporate social accounting, social book-keeping and social auditing. The department needs to look at its vision, goals, current practices and activities to identify those that are amenable to social auditing purposes. Small work groups (say, seven persons) are to be formed which would spend about two days each to list down the social vision, core values, social objectives and map stakeholders and their involvement and ensure involvement of various functionaries with due representation to gender, while forming small groups. The small groups should have access to project documents, process documentation, department guidelines and policy notes.

The next activity would be to assign the task of matching the activities with the social objectives and identifying gaps. This again could be carried out by a small group drawn from the managerial cadre and execution/implementation groups at the field level. All this information would be then looked into; to develop a plan for Social Auditing, including who would be responsible in the department, monitoring and identifying the resources required. This responsibility again could be given to a small group of three individuals.

Stakeholder consultation, involving department functionaries and civil society, would be the forum for sharing the Social Audit plan. This consultation would clarify the issues important for Social Auditing, role of stakeholders, as well as commitments from them. The outcome of the consultation would be fed into the process of detailing out: the indicators to be monitored; which existing records are to be used; and how additional information would be collected. The next key step is to fix responsibilities for various activities. The activities include preparing formats for social account-keeping, compilation of data and reporting the same on a monthly basis (internal use). Managers of the
department/programmes can use this information for monitoring as well as providing feedback for improving performance and overcoming bottlenecks.

Ideally, Social Audit should be conducted regularly, and the method should be developed through a participatory relationship between the auditor and the organisations/departments. The following figure depicts the detailed steps followed in the social audit cycle.

In addition to using the Tool kit exercises in the right sequence, it is vital that the process is participative and inclusive. The cycle starts with ‘deciding to do a Social Audit’ and at the end of each year planned targets and actual achievements are to be compared.
Experiments in Social Audit from Vithura Panchayat, Kerala

The decentralisation process in Kerala is unique not only in terms of the functions and finances transferred to the local self-governments, it has also provided scope and space for transparency and accountability to the people in a major way. During this process, a few Grama Panchayats have gone far ahead of others in experimenting with various mechanisms for social audit.

Vithura was one such panchayat which tried to create a transparent local self-governance system with people's participation. Right from plan formulation to implementation and to the extent of plan monitoring and evaluation was entrusted to the people. The key for success behind the Vithura experiment was a well designed organisational setup, where people's committees were formed and made functional. The different types of committees that were formed are: neighbourhood groups consisting of 50 neighbouring houses, ward development committees, panchayat level academic committees, subject groups, panchayat level women's committee, panchayat level monitoring committee, children's forum, people's committees for social audit etc. All these had specific roles to play in the planning and implementation stages of developmental programmes.

The social accounts were presented to the Grama Sabhas in printed form, by the panchayats. It was presented in the Grama Sabha in such a way that any person could understand and question any irregularity in the activities of the panchayats. The difference with Vithura model of social audit is that it is not an audit after the implementation. The people's committees mentioned above were given information about the activities regularly and they were empowered and supported by the panchayat committee to monitor the activities. Thus, these committees were active throughout the process of planning and implementation.

The basic structure of the Vithura social audit mechanism was as follows:

1. From each Grama Sabha, three persons are elected to be a part of the panchayat level social audit committee.
2. Each one is to be a part of one of the sector group like productive, service and infrastructure sectors.
3. These committees conduct the social audit and their report is presented in the Grama Sabha.
4. All the officers of the panchayat including those of the line departments will be present in the Grama Sabha to clear doubts with relevant documents.

Thus, a strong social audit mechanism was experimented in Vithura, a Grama Panchayat in Trivandrum district of Kerala.

Risks Involved and Key Success Factors

The key to successful Social Auditing is in knowing which techniques to use and in what sequence. The Social Auditor can choose different methods so as to capture both quantitative and qualitative information from the respondent.

It is equally important to ensure the follow-up action taken on the Social Audit report and the receptiveness of the departments/organisations to adopt the recommendations in the Social Audit report. The social auditors should suggest modalities for improving its performance based on the feedback received from different stakeholders. The detailed work plan needs to be identified by the social auditors and the same should be implemented at the earliest.

References

7. Change Management

Moving from Intentions to Implementation: The Challenge of Change

In most government organizations, there are no shortages of analytical reports or action plans. External agencies and internal groups have often studied key aspects of the organizational functioning and come up with recommendations for improvements. Training programmes and workshops have been conducted to discuss important ideas. If ‘talk’ was an indicator of change, then the progress would be considered remarkable. But a common lament is that very little of such prescriptions and pronouncements get translated into practice.

An examination of the different causes of this large gap between knowing what to do and actually doing it would bring us to the issue of mindset and culture. What characterizes the mindset in government organizations today? In Table 1, we present an account of what the employees themselves feel about their working.

How Mindset Creates Impediments to Change

It is not difficult to see how such a culture can create severe impediments to successful change implementation. We need to clearly recognize these major impediments so that we can ensure that the design of the new approach is appropriate in such a scenario.

A major change happens over a period of time. As it is a process, not an event, feelings of ownership and involvement are critical for success. In other words, a limited commitment system can manage an ‘event’ (like an emergency situation or a crisis), not a ‘process’ that unfolds over a period of time and therefore, requires persistent and consistent set of actions over time. When we do not invest sufficient efforts in building ownership, involvement and commitment of people at operating levels, there is little hope that we would be able to elicit and major commitments of time, energy and effort from them to make implementation successful.

Major changes require substantial amount of resources to be committed over a period of time. These are not just in terms of finances. A major requirement would be in terms of leadership attention consistently over a period of time to make changes happen. When the leadership is busy with routines and fire-fighting, their attention and support would be either spread too thinly over several efforts, or would be missing altogether. Every change requires a certain minimum level of time, energy and attention to succeed. If the interventions are
not of the right dosage, the efforts may create a ‘flash in the pan’, but no lasting change.

Table 1  
Functioning of Government Organizations: Employees’ Own Perceptions

**What we are**

- Even at senior levels, there is a high degree of *pre-occupation with day-to-day routines and fire-fighting*; this drives out strategic thinking.
- Mindset is characterized by *short-term and status-quo orientation*. As a result, most people don’t see a connection with their larger purpose, or contribution.
- There is a great deal of *helplessness about constraints*. Traditional hierarchy creates huge vertical barriers to communication and leads to lack of influence with seniors. High degree of compartmentalization and poor linkage mechanisms and processes lead to absence of influence with peers/other sections or departments.
- Superiors exhibit ‘*Pressure’ and ‘Push’ style of influence, not ‘Pull’ style*. In other words, there is excessive reliance on directive style to get work done. Little or no effort is made to get buy-in for the orders or instructions issued or energize and empower people to be pro-active.
- When confronted with specific instructions/orders and pressures, there is *conformity, not commitment*. People do the minimum that is required to avoid sanctions.
- Under the circumstances, the system operates at a low level of equilibrium, and *performs only in crisis or emergency situations* by temporarily suspending the usual patterns of working and mobilizing resources for a relatively short time on a single agenda.

**What we are not**

- Even when there are crises just waiting to happen, there is little *anticipatory and participatory learning*.
- There is little or no *appreciation*. The communication is characterized by a great deal of criticism and cynicism.
- There is little *mutual trust, respect, and friendship in teams*. Relationships are largely impersonal.
- The organization has little *focus on clear priorities*. With clear directions missing, there is only focus on activities.
- There is little *open, free and frank communication*. The recipients of communication are usually ignored in the process. There are no honest conversations on key issues.
- There is lack of *effectiveness in managing mistakes*. As employees are afraid of witch-hunting, there is little impetus to take initiative and act.
- There is little *sensitivity to internal and external customer satisfaction*. There is no concern for individuals/groups being served.
- *Strong lateral and vertical communication and linkages are missing.*

**Need for Social Mobilization**

As stated above, when the level of employee skills, motivation and self-esteem is not high, strength of argument is not sufficient to elicit action. In such a scenario, people may agree with the issues but no one comes forward to initiate actions required.

As a result, when the leaders start the change campaign by defining the problem and planned strategy, and back the proposed strategy with huge amount of data, the operating level officials at the receiving end tend to get entrenched in the roles of spectators or skeptics. As a result, implementation suffers. At the same time, it also won’t be realistic to assume that people would volunteer themselves in defining change initiative or propose new strategies in an entrepreneurial fashion.

The technique of ‘small wins’ would be helpful in such situations. This involves asking people to make small initial commitments. Small commitments lead to small successes. The small wins demonstrate to employees at operating levels that they can reform certain things in the department or organization. When visible results flow from a number of small wins, a new sentiment is introduced into the system, and this can precipitate changes in mindsets over time if the incremental reform implementation approach is persisted with. So the overall problem is structured before these are presented to the *appropriate groups of change agents*. The change agents are involved in analyzing the problem and discovering the solutions that they can put in place at local level. There is follow-up to prevent the possibility that the reform implementation workshops conducted for change agents do not merely become a ‘flash in the pan’. Thus the system is gently nudged to some small wins to generate a new sentiment.
Social mobilization involves opening up channels of communication with employees through different forms of interactions. The interactions should be qualitatively different. There should be free exchange of views, honest conversations and brainstorming and effective listening. People should be encouraged to make small initial commitments that lead to small wins. When visible results flow from a number of small wins, a positive sentiment is generated for larger change.

Social mobilization approach succeeds when there is sufficient investment of time, energy and effort in building motivation and commitment of critical mass of change agents. Leadership has certain critical roles. First and foremost, it must instill and sustain hope. It should clearly define the outputs and outcomes desired. It should frame issues and organize events to aid problem solving. It must provide continuous monitoring and support to the whole the process. We elaborate this approach in some detail below, and then outline a roadmap for change management in the following sections.

**Basic Elements of the Proposed Change Approach**

As the foregoing discussion suggests, there are certain key elements of the proposed approach to change. These have been outlined below.

**Energetic leadership to establish credibility of the approach**: With a certain amount of effort, it would be possible to get most of the key employees (who would function as change agents) to make initial investment of effort to come up with ideas and suggestions for change. But these efforts had to translate into small wins so that their hopes could be sustained. The involvement of leaders and their willingness to decide quickly on acceptable ideas is an important factor in this regard. When leaders do not display much enthusiasm or interest, the change agent groups quickly lose their impetus for change. Thus leaders play a key role in providing change agents cognitive justification for continuing to make efforts. They keep alive the hope that changes can be made in this manner. Their action or inaction determines the credibility of the whole effort.

Under the circumstances, it would be necessary to link/integrate the efforts of change agents with priorities of the leaders of the department. The follow-up initiative should help in focusing leadership time, attention and energy on the change interventions. In the initial stages, the leaders of the department may define the problem or focus areas based on the following criteria:

- Concern should be important, urgent and compelling
- It should have high potential pay-off in terms of service quality to citizens/other stakeholders; and
- In the initial stages, group should only take up short-term pay-off projects so that there are visible improvements in 3 to 6 months. It was felt that visible results would generate positive feelings not only among citizens/stakeholders, but also among individuals and groups involved in the change effort. The reinforcement from success would be important to sustain the momentum of change process.

Clearly defining the outputs and outcomes desired: Achievement is a product of competence and commitment. When departmental leaders make active contribution to defining the priorities clearly in terms of outputs and outcomes desired, motivation of change agents is stimulated. This requires clearly articulating certain projects with medium visibility, having worthwhile pay-off, and not demanding unduly high levels of effort. When there is a clear and specific demand, there is a spur for creating requisite capacity to meet that demand. By remaining in touch with the change and developmental agenda of the department, effective follow-up can create a ‘pull’ factor for reforms.

Framing of issues or organizing of events to aid problem-solving: Simple tools and techniques to frame issues, structure the analysis and action planning process are found to be helpful in quickly achieving shared understanding of the problems and possible solutions. Similarly, when specific events like workshops, follow-up meetings or review sessions are scheduled to aid problem solving, they serve to provide a context for galvanizing people to action. The support for organizing events and providing tools for analysis has to be provided from outside the department.

Thus we need to have a system for effectively following up the change agent workshops. This would involve creating more change agents, organizing events to facilitate the process of framing of issues to aid problem solving, having an effective method of supporting the implementation process.

Rapidly increasing the number of change agents in the system: It is important to rapidly increase the number of change agents in the system. This is because effective change implementation requires a critical mass of change implementers. The change agent approach is a viable idea to quickly create a critical mass of change implementers. We have to quickly gear up to meet this need. In addition, we need to actively follow up the workshops with field level interactions, consultations and evaluation. Unless there is a strong and effective follow-up,
much of the potential for change generated by change agent workshops may not be realized in actual practice.

Research emphasizes that a key factor contributing to success of change process is the presence of sufficient number of activists in the group who believed in making changes. When there are individuals who share common interest, it becomes easy to work together to make quick progress. When there are too few motivated and committed individuals, groups find it difficult to break free of the inertia plaguing the system. Thus it is clear that for the change effort to sustain itself, we need a certain minimum number of individuals who are ready to move away from spectator orientation, and invest time, energy and effort to initiate changes in the department. These are individuals who do not remain preoccupied with their personal cost-benefit equation, but act because they believe in the cause.

If more numbers can be quickly added to the change agent group through more workshops, network of attachments and acquaintances, the approach gains strength. This also leads to a more visible and a more positive shift in the mood within the larger department. Thus our proposed reform or change strategy has several key elements. We summarize these factors in Table 2. Incorporating these elements, we have outlined a roadmap for change management in the following part of the paper.

**Major Steps in Reform Implementation**

*Establishment of an Apex Transition Management Team (TMT)*

It would be necessary to create an apex team to oversee all reform implementation initiatives in the government. This is crucial given the large number of change initiatives that would have been launched by any state government. Overseas experience in administrative reforms and large-scale reorganisations indicate that change programmes can fail to deliver results if they are poorly co-ordinated. Unrelated change programmes lead to a loss of focus and clarity that are essential for success. In addition, people in the organisation begin to experience change “fatigue” leading to cynicism, diminished commitment and resistance to change. The apex team will integrate and co-ordinate the reform implementation efforts to ensure that they all contribute to the common goals of enhancing efficiency and responsiveness. The team will ensure that the timing and sequence of change efforts are such that they do not overwhelm the capacity of the people experiencing the changes. Apex Transition Management Team should be composed of at least five
members drawn from senior officers of the government and representative/s from the academic institutions. This five-member team will have a time frame of three years. It will also have full-time secretarial support.

Establishment of an Implementation Support Team (IST)
It is also necessary to create an Implementation Support Team that will facilitate the reform implementation by providing the necessary training inputs and carrying out effective follow-up. This team will also create necessary learning resources, review and monitor the reform projects and create a database of change experiences. Programme managers are needed to work closely with departmental heads in organising and conducting the workshops. In addition, Implementation Support Managers are needed to facilitate database creation and supervise field visits. Field executives will review and monitor implementation progress through regular field visits. In addition, a team leader to co-ordinate the work of the whole team is required for better coordination.

Identify and Select Target Departments for Reforms
In the initial phase, each state government would focus its efforts on certain key departments. This would be done so as to be able to make changes/reforms actually happen in such a manner that the quality, timeliness, cost and overall effectiveness of service to customers/citizens show significant improvements. As our focus is on catalyzing the actual reform implementation, we cannot merely restrict ourselves to conducting programmes and workshops. We need a strong implementation support/facilitation cell that would be charged with the following responsibilities:

1. Close interaction with the leadership of the department: As we have stated earlier, the departmental leaders have to define the priorities clearly in terms of outputs and outcomes desired. By clearly articulating worthwhile goals, the leaders spur problem solving in their teams. In addition, leaders should be willing to decide quickly on acceptable ideas that change agents come up with. They have to display enthusiasm and interest so that the impetus for change is sustained. The implementation support/facilitation cell will maintain close liaison with the leadership of the department to channelize leadership time, attention and energy to the reform implementation interventions to inject life into those interventions, and thus help make change happen.

2. Follow-up/monitoring of implementation of action plans formulated during workshops: Members of the implementation support cell will make field visits to district and other offices regularly to find out the extent of progress made on action plans prepared during workshops. By
regularly keeping in touch with change agents, they would provide them assistance in terms of consultation for problem solving.

3. Developing database of best practices and facilitation of diffusion of innovation: Regular field visits would help implementation support team members to understand implementation successes and failures. They can develop a database of best practices or implementation hurdles. They can contribute to diffusion of innovation across different departments/locations etc.

### Building Blocks of the Proposed Approach to Change Management in Government

1. Involve people in analyzing problems and action taking
   - Problem solving is not merely an intellectual process. It is also a social process.
   - Effectiveness of decisions is determined by: (a) Quality of solution; (b) Acceptance/Ownership; (c) Timeliness
   - Execution fails when we don’t mobilize people
   - Involvement works best when you listen with head and heart and respond positively to worthwhile suggestions

2. Determine clear priorities for problem solving
   - By chasing too many problems, we achieve very little
   - ‘Focus’ is critical for success

3. Initially focus on ‘Controllable’ problems
   - Look at the right level of details – Don’t pitch it too high or too low
   - Issues to be framed carefully. For example, rather than complain about a larger problem (such as absence of skills and commitment in government organizations), one needs to look at what is required in one’s own team.

4. Choose those interventions that give the optimal leverage
   - When you intervene at the level of systems and processes, you get better pay-off from your effort
   - Trying to change people without making any other changes in the systems or organization is an uphill struggle
5. ‘Small Wins’ approach
   ◦ Ask for small commitments
   ◦ Small commitments lead to small wins
   ◦ Small wins create impetus for further action

6. Sharpen the cutting edge
   ◦ Performance will suffer if the cutting edge is blunt
   ◦ Many change efforts fail because we under-communicate by a factor of ten
   ◦ A big part of communication is listening and facilitation
   ◦ Provide simple and effective tools for problem solving to people who have to act

7. Linkage, mobilization and monitoring are too important to be left to chance
   ◦ Organizational boundaries slow down and distort ‘flow’ processes
   ◦ Interface processes need special attention. Otherwise we would have the paradox of ‘dull units with bright members’

The members of the implementation support cell should be energetic individuals with expertise in carrying out action research and facilitation. They would be primarily responsible for performing linkage and integration role that is critical for effective implementation.

It is quite obvious that faculty members/resource persons responsible for conducting reform implementation programmes, programme coordinators and members of implementation support cell should function as a cohesive team to catalyze reform implementation. Linkages have to be maintained with the departmental leaders. Working arrangements, reporting relationships and integrative processes should be carefully designed to facilitate organic team functioning that is committed to the effective implementation of change agenda.

**Identify and Select Reform Projects in the Departments**

This activity would be carried out by change agents with the active involvement and inputs from the leadership of the department. The change agents will:
   • Review the reform priorities for the department.
   • Go through the studies conducted by institutions and consultants pertaining to the department and look at the department-specific
recommendations made by the studies, and accepted by the government.

- Translate the proposed action plans and priorities into discrete projects.
- Wherever possible, hold focus group discussions with a sample of customers/citizens and community groups for receiving ideas/suggestions and validating the projects identified.
- Categorize the chosen projects into two types of reforms:
  - *First Order Reforms*: Reforms that can be implemented within the department with minimal additional resources in reasonably short time. These would be implemented through change agents.
  - *Second Order Reforms*: Reforms that require changing structures, systems or frameworks and are not fully within the control of the department. Such projects would not fall within the ambit of change agents.
- Review and finalize the final list of projects to be implemented through change agents.

**Communicate the Reform Objectives and the Process to be followed**

Departmental Heads will do this with the help of IST. This will involve:

- Sending formal written communication about the change priorities of the department and selected change projects to the department employees.
- Face-to-face communication about the department priorities and selected projects at the head quarters, districts and other levels. In this meeting, interested employees would be invited to volunteer themselves for working on and contributing to the projects.

**Set up Change Project Teams in the Departments**

This activity would be coordinated by Change Agent Group. The IST will support them. This step will involve:

- Compiling a list of employees who would act as Change Agents for implementing selected change projects.
- Reviewing and finalizing the list of Change Agents.
- For different change projects, identifying appropriate groups of Change Agents and individuals who would act as Project Leaders for different projects.
- As newer projects get identified, expanding the list of Change Agents in an appropriate manner.
- Identifying the training requirements of project leaders and change agents.
• Conducting workshops as necessary for project leaders and change agents.

Train Change Project Teams to Develop Action Plans

IST will drive this step of the reform implementation process with the help of other consultants and experts available with the department. The programme managers will take care of the logistics and other arrangements to coordinate the program administration. The program faculty will facilitate problem-solving process during the workshop so that key issues are properly identified, appropriate solutions are developed and effective plans are made for implementation. Throughout this step, Departmental Heads will be involved in the process. The IST will:

• Organize workshops for equipping the change agent groups with appropriate problem solving tools and techniques for making effective progress on their selected projects.
• Ensure that the Change Agents Workshop end with a clear and complete action plan including:
  ▪ What needs to be done?
  ▪ Who will be responsible for completing the task?
  ▪ How will they do it?
  ▪ When will they do it – specific timelines?
  ▪ What kinds of resources are required?
• At the end of the workshop, review action plans and make appropriate decisions for assigning accountabilities and providing resources and people.
• Convert the final actions chosen for implementation into appropriate orders.
• Develop appropriate learning materials/resources for the reform implementation teams. This would include best practices, case studies, and appropriate frameworks.

Implement Action Plans; Monitor & Review Implementation; Remove Roadblocks

This is the most crucial step in the reform implementation process. This will require the active involvement of TMT, IST and the Departmental Heads. The departmental Heads will closely monitor implementation. They will implement the action plans developed in the previous step. The IST will:

• Follow-up/monitor implementation of action plans formulated during workshop by making periodic field visits to find out the extent of progress.
made on action plans prepared during workshop. Also talk to citizens/customers and community groups, wherever possible to find out the impact of the reform implementation.

- Compile the observations and analyse the findings in terms of where the progress of implementation is satisfactory, what appear to be the roadblocks to reform implementation and how these can be removed.
- Send periodic reports to the leaders of the department on the progress of implementation at different districts/locations.
- Develop a database of common implementation hurdles and best practices in implementation.
- Go through the reports of the Implementation Support Cell and develop appropriate training materials that can help in effective diffusion of innovation and best practices across different departments and locations.

The Departmental Heads will:

- Based on the feedback received, decide on corrective actions to be initiated at different levels, nature of assistance to be provided to change agents for strengthening implementation.

**Review Progress, Develop Database, Identify Lessons, & Formulate Policy Advice on Further Reforms**

TMT, IST and Departmental Heads will work together in this step. They will:

- After a certain period has elapsed, conduct a review of the progress achieved on different projects at different districts/locations.
- Decide on what follow-up workshops are required, what new training programs have to be conducted.
- Document the lessons learned. The write-up should capture key insights derived from the experiences of reform implementation so that future actions are made efficient & effective. The following key questions may be asked to derive lessons from the implementation experience.
  
  i. What was intended?
  
  ii. What was really done?
  
  iii. What results were achieved?
  
  iv. What was learned?

- Identify what are some of the systemic difficulties confronted by most departments and how these need to be overcome by appropriate government orders. Plan separate interventions to address these concerns.
- Prepare and submit policy advice to the government on future reform implementation programmes
Annexure 1: Steps in the Change Process

1. Establish Transition Management Team
2. Establish Implementation
3. Identify & Select Target Departments for Reforms
4. Identify & Select Reform Projects in the Target Departments
5. Communicate Reform Implementation Objectives & the
6. Set up Change Agent Group/Reform Project Teams in the
7. Train Change Project Teams to Develop Action
8. Implement Action Plans; Monitor & Review Implementation; Remove Roadblocks
9. Review Progress, Develop Database, Identify Lessons, & Formulate Policy Advice on Further Reforms
References


8. Leadership

Introduction

In today’s fast-changing world, leadership issues are getting increasing importance in government organizations - both at policy and implementation level. A sense of urgency is being experienced for improving the performance of our public organizations to meet the interests and expectations of the nation and the citizens. There is a realization that it is effective leadership that can help government organizations make the critical transition from intention to implementation, potential to performance, and policy to practice.

To enhance the effectiveness of the government, the country has undertaken structural and management reforms to align public services with the needs of contemporary society. But we find that the attempts to actually implement these reforms meet with predictable hurdles such as ‘mindset’ and ‘culture’ problems. A common complaint is the lack of dedication and commitment to the underlying values of public service. To align the bureaucratic mindset and culture with the demands of organizational challenges, leadership is often suggested as a solution.

The Organization for Economic Co-operation and Development (OECD) describes governance as the way in which the underlying values of a nation (usually articulated in some way in its constitution) are institutionalized. This may include formal aspects such as separation of powers, checks and balances, transparency, accountability and responsiveness. However, for these values to be realized in actual practice they must be imbibed by the bureaucratic culture. Leadership makes this possible. As the flesh on the bones of the constitution, leadership lies at the heart of good governance. Without this crucial variable, we cannot achieve enhanced management capacity. It is the quality of leadership that often determines the success or failure of an organization.

Leadership helps make changes happen by opening channels of communication with the public and other stakeholders. It achieves integration across different departments and different levels of the government. It utilizes technological advances effectively to improve performance, and modifies organizational processes to promote newer ways of delivering service. It develops individual,

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1Public Sector Leadership for the 21st Century, OECD, 2001
team and organizational capacity for taking up challenges. It also brings together public and private actors to achieve developmental goals and strategies in a sustainable manner. To sum up, leadership is a critical component of good public governance.

**Leadership and management**

While the two notions of leadership and management are often used interchangeably, they actually describe two different concepts. Over a period of time, tools and techniques of *management* have evolved in large measure to ensure organizational stability, operational efficiency and predictable performance. Formal planning systems, centralized decision-making processes, hierarchical organizational structures, procedures and rules help maintain stability in the levels of performance in organization.

But these traditional tools cannot meet the challenge of change that confronts our public organizations today. The traditional tools provide little or no guidance on how to meet the challenges of responding to the external environment, continuous adaptation and providing a sense of direction amidst turbulence and change. It is *leadership* that addresses these challenges. Thus, leadership prepares organizations for change and helps facilitate the process of transition to achieve intended goals. Leadership attends to the following aspects:

1. focusing on delivery of results
2. challenging assumptions
3. learning from outside
4. understanding the environment and its impact
5. thinking and acting strategically
6. building new patterns and ways of work
7. developing and communicating a vision of change.

**What makes a leader?**

There is a growing body of research on what makes a leader. Kouzes and Posner\(^2\) have surveyed and researched what people look for and admire in their leaders. The results of these surveys have been striking in their regularity over the years. It appears that a person must pass several essential tests before others are willing

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\(^2\) *The Leadership Challenge*, Kouzes and Posner, 2002
to grant the title leader. These personal traits or characteristics are presented below.

- Honest
- Forward-looking
- Competent
- Inspiring
- Intelligent
- Fair-minded
- Broad-minded
- Supportive
- Straightforward
- Dependable
- Cooperative
- Determined
- Imaginative
- Ambitious
- Courageous
- Caring
- Mature
- Loyal
- Self-controlled
- Independent

Although all these characteristics receive some votes, and therefore each of these is important to people, what is most striking and most evident is that, temporally and spatially only four traits have regularly garnered over 50 percent of the votes. What people most look for and admire in a leader has been constant over a period of time. A majority of the constituents believe that the leader must be:

1. Honest
2. Forward-looking
3. Competent
4. Inspiring

Honest

In almost every survey, honesty has been selected more often than any other leadership characteristic; overall, it emerges as the single most important ingredient. It’s clear that if people anywhere are to willingly follow someone whether it be into battle or into the boardroom – they first want to assure themselves that the person is worthy of their trust.

Forward-looking

More than 70 percent of respondents selected the ability to look ahead as one of their most sought-after leadership traits. People expect leaders to have a sense of direction and a concern for the future of the organization. Whether we call that ability ‘a vision’, ‘a dream’, ‘a calling’, ‘a goal’, or ‘a personal agenda’, the message is clear: leaders must know where they are going if they expect others to willingly join them in the journey.
Competent

The third key trait for a person to be acknowledged a leader is ‘Competency’. Competency refers to the leader’s track record and ability to get things done. This inspires confidence that the leader will be able to guide the entire organization, large or small, in the direction in which it needs to go.

Inspiring

It’s not enough for a leader to have a dream about the future. A leader must be able to communicate the vision in ways that encourage us to sign on for the duration. In other words, a leader must be inspiring. This is often reflected in the enthusiasm, energy and attitude of the leader.

Leadership challenges

The organizations in the government have to be sensitive to the major shifts in the environment, as briefly discussed below:

1. **Globalization.** There is a need to review the implications of increasing globalization of economic and social policies. This creates a need for new capacities to exploit new opportunities and to deal effectively with new threats.

2. **Decentralization.** With greater decentralization in service delivery, there is an increasing fragmentation of administrative responsibilities. This poses major challenges of policy coordination, accountability and coherence.

3. **Rapid changes in technology.** With advances in information and communication technologies, it is possible for governments to cope with new problems in a swift, transparent and flexible manner. At the same time, it throws up new challenges for re-orienting governance in the ‘knowledge era’

In addition to the above, Robert D. Behn\(^3\) enlists eight great challenges for top public executives: *the leadership challenge, the strategy challenge, the performance challenge, the motivation challenge, the collaboration challenge, the accountability challenge, the learning challenge and the external communication challenge*. He argues that leadership challenge requires the articulation of an inspiring mission,

\(^3\) The Great Challenges for Top Public Executives, Robert D. Behn, Kennedy School of Government
personal persistence and a commitment to generating enthusiasm among employees. Strategy challenge requires leaders to recognize the true purpose to be achieved and an understanding of how people and organizations behave and also the ability to match behaviour to purposes by crafting concrete yet subtle organizational endeavors that will directly or indirectly influence people, to help achieve those purposes. Performance challenge requires the establishment of specific output targets that people are charged with producing and a conscious theory about how the organization’s outputs contribute to the desired outcomes.

Motivational challenge is the mobilization of individual and collective efforts to produce results. The collaboration challenge is the cooperative work with other (public, nonprofit, and private) organizations that have similar, yet not identical, missions to achieve broader, overlapping purposes. Accountability challenge is the necessity for public organizations to abide by the rules for finances and fairness, while producing real results. The learning challenge is uncovering basic principles of action, management and leadership from a plethora of details in new and very specific circumstances, followed by the application of these general principles in new situations. The external communication challenge is the enlisting of support for the organization’s mission, strategies, targets and activities from a diversity of stakeholders.

**EQ more important than IQ for leadership**

When people are asked to define the ideal leader, many tend to emphasize traits such as intelligence, toughness, determination, and vision. These are the qualities traditionally associated with leadership. There is little doubt about such skills being necessary. Studies, however, indicate that they are insufficient for effective leadership. Although a certain degree of analytical and technical skill is a minimum requirement for success, research indicates that Emotional Intelligence (EI) may be the key attribute that distinguishes outstanding performers from those who are merely adequate. That’s why EQ (Emotional Quotient) is considered more important than IQ (Intelligence Quotient) for leadership.

Leadership research tells us that the lack of interpersonal skills and the inability to adapt are the two principal derailment factors in careers. Today, there is a growing body of knowledge that clearly shows that proper understanding and use of emotions can be critical in helping us become more effective leaders and better communicators. Without EI, persons can have first-class training, incisive minds, and endless supply of good ideas, but still be poor leaders.
EI includes two aspects of managing self – *self-awareness* and *self-motivation*; and two aspects of managing others – *empathy* and *social skill*.

**Managing self includes:**

1. Ability to recognize and understand one’s own moods, emotions, and drives, as well as on others.
2. Ability to control or channelize impulses and moods that are disruptive. This requires the propensity to suspend judgement and to think critically before acting.
3. Passion to work for reasons that are beyond money and status, and also a propensity to pursue goals with energy and persistence.

**Managing others includes:**

1. Ability to understand the emotional make-up of other people;
2. Skill in treating people according to their emotional reactions, and
3. Proficiency in managing relationships and building networks and ability to build rapport.

Increased EI moves individuals and teams to increased resilience, enhanced performance and greater success in the face of change. Individuals with strong EI form good working relationships, function as cooperative and constructive members of groups, and control anger and other disruptive impulses. Colleagues and subordinates also view managers who are high on EI as generally pleasant to be around.

We are aware that analytical, quantitative and verbal abilities are measured through conventional IQ tests. Similarly there are tests to measure EQ (Emotional Quotient). Research indicates that high EQ accounts for over 90% of the difference between ineffective leaders and effective leadership performance. Effective leadership improves unit performance and service delivery.

**Leadership at different levels.** In traditional hierarchies people in higher positions are considered as leaders. It is being increasingly realized that leadership is required at different levels in the hierarchy as outlined below:

1. **Strategic Leadership.** This is required at the higher levels. This involves strategic thinking, political savvy, vision, external
awareness, influencing or negotiating skill and cultural awareness.

2. **Team Leadership.** This is required particularly at the middle level. At this level, project management, team building and interpersonal skills are crucial.

3. **Technical/Functional Leadership.** This is required at lower levels. This involves professional and technical skills.

Leadership studies indicate that good leaders are not ‘born’; they ‘grow’. Individuals, with the desire and will, develop themselves as effective leaders through a constant process of self-study, dedication, training and experience.

It is said that experience is inevitable; learning is not. Individuals confront significant challenges in their lives. They would have successes, setbacks, and even crises. By converting these experiences into learning events they develop themselves. When individuals get open and frank feedback from others and have a chance to discuss their developmental agenda, they quicken their leadership development.

It is, of course, true that most individuals do develop over a period of time. In many cases, the speed of learning is slow. By accelerating the process of learning, we can foster effective leadership development in a shorter time.

**Information, guidance and support.** Leadership can be learned and improved at any age. But the specific leadership competencies don’t automatically come through life experience. People who are motivated to improve their skills can do so if they are given the following:

1. **Right information.** Individuals need candid assessment of their strengths and limitations from people who know them well and whose opinions they trust;

2. **Guidance.** They need guidance through specific developmental plans that uses naturally occurring workplace events as the laboratory for learning;

3. **Support.** They need support on how to handle different situations, what to do when they have made some mistakes, and how to learn from mistakes and setbacks.

If potential leaders cultivate these resources and practice continually, they can develop specific leadership skills – skills that will last for years.
9. Building Motivation and Positive Attitudes

Introduction

The performance of an organization does not merely flow from effective strategy, well-designed systems or high level of employee skills. The ‘will’ factor is a critical parameter in the equation. ‘Will’ refers to how determined and enthusiastic people are about achieving results. As the old adage goes, ‘where there is a will, there is a way’. This tool kit deals with this all-important issue of motivation.

Why do you need this worksheet?

Motivation flows from a variety of factors – whether work goals are set in a participatory manner, whether the unit challenges are properly clarified to employees through effective superior-subordinate and team communication, whether good performance is visibly recognized, whether the senior people create a caring culture, and so on. This worksheet helps team members discuss the level of motivation in the work group, what contributes to making it high or low and what can be done to improve it.

How to use building enthusiasm worksheet?

1. First, the team members should complete the Part A of the ‘Building Enthusiasm’ worksheet.
2. Each team member should then share his/her observations. This should be followed by discussion of the common items and the differences. In the process, the group will develop shared view or understanding of some key aspects relating to level of motivation in the team.
3. Then the team members should review Part B of the worksheet. They should explore whether the team can adopt some of the practices outlined in Part B to enhance the level of motivation in their unit. It is important to keep an open mind to ensure that the team does not dismiss an idea without sufficient consideration. At the same time, the team should not ignore the likely challenges/difficulties involved in implementation. It should discuss how these can be overcome.
4. The team should assign responsibilities to individuals who will spearhead the introduction of certain processes/systems. It should examine what would be necessary to sustain the changes and keep the motivation high.
### Part A: Building Enthusiasm Worksheet

<table>
<thead>
<tr>
<th>Question</th>
<th>Answer</th>
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<tbody>
<tr>
<td>What is the current level of enthusiasm in our team?</td>
<td></td>
</tr>
<tr>
<td>(Going up? Going down? Remaining the same? Mixed?)</td>
<td></td>
</tr>
<tr>
<td>Reasons for the above?</td>
<td></td>
</tr>
<tr>
<td>What have been our major successes in the recent past? What major milestones have we achieved?</td>
<td></td>
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<tr>
<td>Who are the persons who have contributed significantly to successes? What explains their high level of enthusiasm? What can we learn from this?</td>
<td></td>
</tr>
<tr>
<td>How can we offer positive feedback and recognition to individuals who make special contributions?</td>
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<tr>
<td>How do we enhance the quality of communication in our team so that people understand the ‘big picture’ and feel motivated?</td>
<td></td>
</tr>
<tr>
<td>How can we give people a greater feeling of challenge? How can we increase communication with individual staff members on the importance of their work, and the specific expectations from them?</td>
<td></td>
</tr>
<tr>
<td>Summary of ideas for building greater enthusiasm in the unit.</td>
<td></td>
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</tbody>
</table>
Part B: Motivation Best Practices Worksheet

Consider the following approaches/techniques that some successful leaders follow in their units to create enthusiasm and motivation among employees.

1. Once in a quarter, supervisor sits with the people directly reporting to him/her to decide on goals/plans for the next three months. During such a meeting, they also discuss progress achieved, obstacles faced and work out specific plans. Then the team pursues/tracks these goals/plans and shows its seriousness/commitment to those plans.

2. Instead of moving files from one table to another in a routine way, the work team meets everyday for an hour (schedule fixed as per group’s convenience and preference) to discuss issues openly and decide on the issues and priorities for the day. Such a discussion helps information sharing, quick decision making and shared understanding of why certain decisions were made.

3. Once in six months, all the members of the unit have a get together (sometimes with families). The occasion is also used to recognize special performances by individuals. This forum provides visibility, public recognition and appreciation for individuals who have contributed significantly to the team’s successes.

4. All the members of the unit meet as a team once in six months to discuss what new initiatives the unit should take, how it can deal with certain obstacles or what issues need special attention. At the end of the discussion, the team decides on key priorities for the next six months. These are then seriously pursued.

5. The senior members of the team make special effort to build a culture that reinforces the values of caring, communication, persistence and responsibility. They make special effort to ‘model’ these values through their own caring behaviour, communication etc.

Do you think your district/team can adopt some of these approaches? What modifications are needed? Do you have any other suggestions to strengthen motivation?
# Tips for Managers

How do we motivate people at work? Broadly speaking, we can achieve this at two levels: personal and organizational. This section deals with efforts managers can make at the personal level. Here we present a summary of useful tips for Managers for improving interpersonal and team effectiveness.

<table>
<thead>
<tr>
<th><strong>Worthwhile work</strong></th>
<th>People are motivated because they know that their work is worthwhile or when they experience their work as meaningful. There are in fact many ways to let one’s staff experience the meaningfulness of their job:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>a) Delegate tasks that challenge and stretch the skills and abilities of staff.</td>
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<tr>
<td></td>
<td>b) Instead of assigning part of a task, let staff be responsible from beginning to end to produce a visible outcome.</td>
</tr>
<tr>
<td></td>
<td>c) Let staff understand why they are needed.</td>
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<td></td>
<td>d) Let staff understand how the result of their work has a significant impact on the well-being of other people and how it contributes to good governance.</td>
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<td></td>
<td>e) Explain to staff the vision, mission and values of the department and how their work aligns with them.</td>
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<td></td>
<td>f) Promote ownership of problem solving.</td>
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<td></td>
<td>g) Empower team members.</td>
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<td></td>
<td>h) Involve staff in making management decisions.</td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>The power of acknowledgement</strong></th>
<th>Motivation comes from an act of recognition, a word of encouragement, or a sense of respect. It is the power of acknowledgement that brings enthusiasm to worthwhile work. Every manager has an unlimited supply of such power. Use this power constructively:</th>
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<tbody>
<tr>
<td></td>
<td>a) Encourage the low performers and praise them when they do something right.</td>
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<tr>
<td></td>
<td>b) Give TRUE (Timely, Responsive, Unconditional, Enthusiastic) commendation.</td>
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<tr>
<td></td>
<td>c) Celebrate what you want to see more of.</td>
</tr>
<tr>
<td></td>
<td>d) Cheer any progress, not just the result.</td>
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</tbody>
</table>
| **Your personal credibility** | Leaders must provide a stimulating and open environment in which their employees feel comfortable to make suggestions. They should work with their employees to refine a rough idea or even draft a totally new suggestion for improvement. When this pervades, loyalty and commitment from employees will be achieved. Therefore, as a leader, in order to motivate your people, you personally have to be:

| a) honest and exhibit integrity above private interests;  
| b) accountable and show openness in decision-making and in its action;  
| c) politically neutral in conducting official duties;  
| d) impartial in the execution of public functions;  
| e) dedicated and exhibit due diligence in serving the community;  
| f) a role model for team members.  
| g) a motivated leader yourself.  
| h) brave enough to admit when you are wrong  
| i) able to speak positively all the time.  
| j) organized yourself.  
| k) open-minded to suggestions and opinions.  
| l) attentive to team members' emotional needs, be a human leader.  
| m) accountable, so team members feel secure enough to take risks. |

| e) Tell people what a great job they’ve done and make their achievements known to the other employees.  
| f) Catch people doing things right, not just catch them doing things wrong.  
| g) Give positive feedback when you spot performance improvement.  
| h) Recognize quality performance of individual team members and thank them personally.  
| i) Give credit to team members for their assistance to your achievement.  
| j) Appreciate the value of risk-taking and mistakes. |
| Working through people | The basic principle underpinning motivation is that if staff are managed effectively, they will seek to give their best voluntarily without the need for control through rules and sanctions - they will eventually be self-managing. Managers sometimes slip into the below mentioned paradigm:

- a) Always giving orders and instructions, allowing no disagreement.
- b) Training is unnecessary.
- c) Staff are workers - their job is only to follow orders.
- d) Staff are not supposed to know the details; and need not know more than what their boss orders or states.

Do you want your staff to work in a de-motivating environment? If not, what can you do? How can you achieve results through people? The following are some suggestions:

- a) Value individuals as persons.
- b) Address your staff as "team members" instead of subordinates.
- c) Be result-oriented, disseminate the purpose and objectives of tasks.
- d) Give people work that demands their best and allow them to learn and move ahead into uncharted territory.
- e) Keep team members informed of new developments.
- f) Encourage problem solving instead of fault-finding.
- g) Never say, "You're wrong" when you disagree with them.
- h) Deal with errors constructively; be helpful at all times.
- i) Be ready to coach team members.
- j) Recommend inspiring training courses for team members.
- k) Go to team members' place instead of asking them to come to your office all the time.
- l) Involve team member in management decisions. |
10. Process Redesign

Introduction

This tool is aimed at providing an action framework for carrying out a process redesign in any Government department, with or without the help of external facilitation. The manual provides:

1. a step-by-step explanation of how a process redesign exercise is carried out;
2. sufficient tools and techniques that are explained which can be directly applied; and
3. examples and cases, wherever necessary, to help practitioners in the actual application.

Process redesign is about analysing the activities and reconfiguring them so as to ensure that required objectives are met. There are five steps involved in the redesign process:

1. Key Process Identification
2. AS IS Process Mapping
3. Redesigning the Process
4. Drawing up the TO BE Process
5. Conclusion

Step 1. Key Process Identification

All the strategies that an organization or department develops, will not have equal impact on the Vision. While some may tend to have a larger impact, the others may have lesser impact. It should be noted that the words lesser and greater are relative. The need to prioritize the strategies usually becomes necessary as departments/organizations have limited resources, and therefore would like to utilize them so that the results are better and quicker. So it is necessary to identify key strategies that help achieve our vision. Having identified the key strategies, the next step would be to identify the key processes. Just as in case of strategies, in case of processes also, all processes may not support key strategy to the same extent. Some may be core to the strategy while some others may support it.
Step 2. AS IS Process mapping

Process improvement cannot be carried out until and unless the present state (of activities and process) is fully understood. In order to gain this understanding, it is necessary to plot the activities as they are being carried out in the present way/method of working. This method of graphical representation of activities is known as process mapping and helps in analyzing the process from multiple perspectives. One of the most commonly used methods for process mapping is flow-charting. As the name indicates, a flow chart is a graphical and textual representation of the activities in the sequence they happen (flow) using standardized symbols. One of the biggest advantages of a flow chart is that it allows for easy understanding of the whole process and the related activities associated with it. Moreover, because of the usage of standard symbols, the flow chart method can be an ideal communicating methodology about the process information.

The following are the steps involved in the preparation of flow chart:

1. First, decide on the level of details the flow chart is to represent;
2. List all the activities in the process;
3. Draw the flow chart using the standard symbols;
4. Identify at each activity level the various factors which cause DELAY and FAILURE, i.e., points where an activity could be delayed or may not be executed/performed properly;
5. Add time element, if the time dimension is an important aspect;
6. Capture flow of information and documents, along with the activities.

Apart from collecting information about the activities, data and document flow, it is also important to gather information with regard to people and their responsibilities. One of the main dimensions on which most of the departmental process is analysed is time. And, time as an element in the process execution gets stretched usually because of lack of clear demarcation of responsibilities. Hence, in the AS IS process maps, information has to be collected about the responsibility of various people across the process i.e. who is responsible for what.

Step 3. Redesigning the process

Before commencing the redesign process, it is important to ensure that most or all of the information pertaining to the ‘AS IS’ condition of the process is collected. As mentioned earlier, this information, essentially pertains to:
1. activities – flow and volume (i.e., the volume of transactions);
2. present measure of performance;
3. people and their responsibilities;
4. the information technology used (if any).

In case the key process(es) which is being redesigned has multiple sub-processes, then this information has to be collected for all the sub-processes. After ensuring that the required information is available, the redesign process can be commenced. The redesign process will consist of the following steps –

**Opportunity identification or improvement area identification:** The opportunity or improvement area identification is done with respect to the measures of performance (MOP). Suppose the process Vision is to improve the time-cycle for a service delivery, then all activities in the process or the sub-process should be closely scrutinized from the time perspective. In order to do this, the group should:

1. List down all the factors that are responsible for negatively impacting the MOP. That is, if the MOP is on time dimension, then all delay factors should be listed down. Likewise if the MOP is cost, then all cost adding areas/factors should be noted;
2. These factors should then be prioritised. Here, the group could use tools/techniques such as Pareto analysis or the 80-20 rule;
3. The group then can identify the “vital” issues which it wants to address for the purpose of redesign.

From the list identified above, it will not be possible to undertake an improvement or redesign of the process, until and unless we understand the reasons or the causes for these *problems*. Having identified the root cause, the next step would be to develop solutions or alternate methods of working. In order to bring about more than average kind of improvements, it will be necessary to ensure that the suggestions for improvement are not routine ideas. One of the tools that can help in this process (of developing new and unique ideas) is brainstorming. This is a tool or a method, which helps the group to come up with a wide range of suggestions/ideas in a short span of time. This technique, which is one of the most widely used methods for idea generation, has number of advantages:

1. It is simple and easy to use;
2. It can be carried out in small groups in a short period of time;
3. Wide range or varieties of ideas are generated;
4. Since the group works on a principle of cross fertilization there is scope for better and improved ideas;
5. Some of the ideas that may appear ‘wild’ at first glance, when implemented, may actually give quantum improvements.

There are a number of variants or ways in which brainstorming can be carried out, but irrespective of the method by which it is carried out, the following are some of the ground rules –

1. **Freewheeling**: This rule implies that every one within the group is allowed to think freely and come up with ideas. The feasibility of the idea should not be considered at this stage of the process.
2. **Postpone judgement**: The group members should not pass judgment on ideas until the completion of the brainstorming session. Discussion and evaluation of ideas, during the brainstorming session should not be allowed.
3. **Quantity**: The success of the brainstorming session will greatly depend on the number of ideas that are generated. Greater the number of ideas, higher is the possibility of coming up with a new or unique solution to the problem.
4. **Piggyback**: This is another important ground rule for the purpose of brainstorming. It should be emphasised in the brainstorming session that other’s ideas are to be used as springboards to generate new ideas. This way, it will be possible to develop concepts, which gets built systematically by more than one individual.
5. **Wild idea**: This is an important aspect of the brainstorming session. The group is asked to come up with an idea which is totally out of the box, i.e., lateral, something which if found viable and implementable, would lead to quantum improvements.

The next step in the redesign process is to look at the information technology and how it would impact the measures of performance of the process or sub-process. The following questions will help in the process of identifying the role, and the impact of information and communication technology.

1. What activities in the process are supported by automation?
2. What is the type of technology that is employed for the purpose of automation?
3. What is the level of impact of automation on the measure of performance of the process?
4. Keeping in view the developments in information and communication technology, what are those activities which can be automated? In answering
this question, one of the main considerations would be to look at the degree of human interaction in the process. Usually those activities which happen behind the line of visibility (that is away from the customer) and which are data/document-intensive would be amenable to automation and use of technology. Also, geographically dispersed activities, which require integration, can be closely scrutinized for purpose of application of information and communication technologies.

**Step 4. Drawing up the TO BE Process**

Once all the required information about the AS IS process and the analysis of the issues pertaining to activities, people and technology have been collected, the TO BE process can be drawn up. The mapping methodology of the TO BE has to be carried out on the same lines as the AS IS Process (methodology of drawing, usage of symbols etc). In the TO BE Process, two different kinds of scenarios usually occur (*vis-à-vis* the AS IS Process):

1. one or more of activities can be totally eliminated;
2. the delay element in the activity may be addressed through process modification or usage of technology.

Needless to say, the choice of option between elimination and reconfiguration would depend upon:

1. the level of difficulty of implementation and impact of the idea;
2. the roles and responsibilities in the reconfigured stage, (it should rationalize, if possible, the activity – responsibility matrix);
3. the information and communication technology that can be deployed.

Once the changes in the activities (elimination or reconfiguration) have been made, they will necessarily have an impact on people and their responsibility. Consequently, once the TO BE process has been drawn up, a new matrix for roles and responsibilities also has to be developed. The changes in the Job Profile or Job Chart for the various positions, due to the changes in the process should be captured accordingly. An important aspect of formulating this position description document is the key result area(s). The key result areas should be developed in such a way that they dovetail with the performance requirements or MOP of the sub-process/process.
The last, but not the least, important component or input required in the redesign process is the feedback from the service recipients or citizens, as the case may be. Depending on the type of process that is being redesigned, the type and intensity of the feedback can vary. In some cases, another important aspect that has to be considered is the educational level and background of the people. The feedback instrument and the methodology of administering it would greatly influence the information gathered and, thereby, the redesign of the process itself.

**Step 5. Conclusion**

As demands from service recipients increase the government to reexamine the way it organizes and works. Process redesign is a simple and easy to implement approach to increase efficiency, decrease costs, and improve overall customer/citizen satisfaction levels. This approach has a number of advantages:

1. The methodology enables the department to take a close and clinical look at the various activities it performs;
2. Though focused on activities, the methodology has strategic connects and can easily be related to the Vision and Mission of the department;
3. Since processes are identified based on the strategy, and the corresponding MOPs are then developed, there is a tangible way in which strategy can be monitored;
4. Not only does the proposed method enable streamlining of activities, it also helps in redrawing and redefining the roles and responsibilities of people involved, so as to help improve efficiencies and reduce cycle times.

This approach has advantages from a number of angles, most important being its operational or activity-level focus. As procedures in many governmental departments are rooted in traditional factors, this method can contribute towards elimination of wasteful activities and improving government efficiency.
11. Strategic Review

Introduction

One of the current debates in the global public policy arena pertains to the roles of the government, private sector and the community organisations, including citizens, in the development processes. Even the vehement critics who often fault governments for being oversized with functional overlap and duplication, with convoluted business processes and inefficient service delivery outputs now recognise that the role of the state is central to the development process. In an era of global socio-economic and political integration, the State will have to play new and different roles.

The key challenge for public managers and political representatives is to make the State more citizen-friendly, responsive, effective and based on the foundations of good governance. Structural reforms are increasingly seen as the most important route for developing dynamic and competent State institutions and organisations. This tool intends to introduce the concept of ‘Strategic Review’ – an instrument through which structural reforms can be undertaken.

The ‘Strategic Review’ is a process that helps clarify the purpose and strategic objectives of the departments in the context of Government policy priorities. It can help identify how performance can be improved to enable Government to achieve its objectives effectively and efficiently.

Purpose of the Tool

The primary purpose of the tool is to provide a step by step guide on the process of conducting strategic reviews, for the departments to manage change and reform on a continual basis. It is intended to provide a basic framework for the public managers at various levels on the ladder of administration to be an integral part of the continuous reform process and change management.

A strategic review is an in depth study of an organization, its mission, vision, strategic objectives, key outputs, performance indicators and targets. It facilitates realignment and restructuring of government organisations as per the demands of the day with the key objectives of improving the ultimate service delivery outcomes.
Description

The strategic review process is a three step process of conducting a Prior Options Review, Departmental Review and Unit Review.

Prior Options Review

The prior options review is done to assess the status of the Department. Throughout the prior options review the key test is the extent to which a particular option offers better value for money to the taxpayer. That is, whether a particular form of organisation offers more effective delivery of the service than the available alternatives.

There are a number of steps involved in a prior options review. The first step is to assess the functions being carried out by a department with a view to see whether they are necessary. This is done by developing a clear mission, vision and strategic objectives for the sector in which the Department operates and comparing the functions of the Department against that strategic framework.

If the Government considers that the function is necessary, in whole or in part, the second step is to review whether the Government itself needs to carry out the function. If it is deemed as a Government function, the third step is to assess whether, even though the Government has policy responsibility for the function, it needs to be carried out by the public sector. If not, and if better value for money is to be achieved through contracting out or privatization, then the function should be externalized. If however the function is legally required to be carried out by officials or if better value for money is offered through keeping its delivery in-house, then the Government should retain it.

Prior options review would specifically help identify the overlap and duplication of functions, effort and resources.

This involves a review of all the department’s functions against the functions carried out by other departments and bodies in the sector. This work can be carried out through a series of workshops with senior officers to introduce the ‘prior options’ approach. This may be supplemented by a review of documentation, interviews and discussions with the other departmental officials. An important element in the review of overlap and duplication would be the issue of co-ordination of work with other departments. The review of the functions of the department must focus on the following issues:
1. Are there any other departments that contribute to the delivery of the same function?

2. From which departments does this department require input for this function to be delivered effectively?

3. Which departments use the output of this department for their work?

4. Does this department share responsibility with any other department in carrying out this function?

5. With which departments would this department be logically grouped?

6. Are there any other government bodies capable of undertaking this function?

The output of this part of the prior options review will be a series of recommendations for elimination of overlap and duplication through transfer of functions between departments. Where duplication exists, such posts should be identified for abolition. Where closely related functions are transferred to another department to increase efficiency and effectiveness, elimination of support staff posts should take place.

**Departmental Review**

The second stage in a ‘Strategic Review’ pertains to the ‘Departmental Review’. This would enable the government agencies to:

1. establish the mission, vision, and strategic objectives of the department;

2. construct an output map for the department showing its key deliverables;

3. develop strategic performance indicators against each of the outputs to measure the extent to which strategic objectives are being achieved, the quantity and quality of key outputs and the efficiency with which the key outputs are produced;

4. establish, through a business development, or customer survey the clients’ and customers’ current views of the department’s products and services, what current and potential clients and customers will want from the department and a business development strategy to meet these needs;

5. develop a picture of the current shared values (organisational culture) and style of management through a staff attitude survey;
6. review the human resources systems of the department, including its structure, staffing and skills;
7. analyse the strengths, weaknesses, opportunities and threats (SWOT analysis) relating to the department, in relation to its current performance;
8. identify the core and non-core functions of the department and prior options for those core and non-core functions, keeping in view its mission, strategic objectives and the SWOT analysis,
9. make proposals to re-engineer the department’s service delivery systems, management information systems (including ICT), financial and accounting systems and human resources management systems;
10. review department specific legislation to understand the legal mandate for its activities, if appropriate, and to identify any legislative changes necessary to enable it to operate as re-engineered business.

Unit Review

Unit reviews are more detailed analyses of each unit in the Department, that help analyse the outputs and activities of the units, and how they support the achievement of the Department’s objectives. They allow a detailed exploration of strategic issues that impact on individual units. The results of the unit reviews will usually result in recommendations for the reorganisation (including staffing levels) and reconfiguration of units in line with new organisational objectives derived from the department review.

1. The Unit Review can help identify:
   a) the units' mission, strategic objectives and core functions;
   b) the outputs, performance indicators and targets of units through output mapping;
   c) whether the functions of the unit should be abolished, privatised, contracted out or transferred to another unit;
2. key process, organisational and staffing issues;
3. any duplication or overlap amongst the activities and outputs of various units.
The basic objective of the strategic review is that all subcomponents within a department work efficiently – that the systems, structure, staff, processes, skills, shared values and strategy are in synergistic mode. Efficiency is the sum product of all the above constituents and strategic review is intended to provide a comprehensive and holistic review of all of these.

Who can use the Tool?

The tool is useful for public managers associated with policy-making processes and managers with the core responsibility of coordination and implementation functions. It is a comprehensive structural reform exercise which aims at an overhaul of the existing functions, structures and systems within a government agency.

Risks involved and key success factors

Strategic Review is a high level strategic exercise. Success of the exercise would depend on the ‘thick interface’ between the administrative and political establishment. Since this exercise could come up with drastically alternate solutions, the review has to be supported by a wide canvas of public managers at different levels of administration. There is a possibility that the lower level staff would view this review as a mechanism to reduce the staffing levels. It is
important to make them aware that the core purpose of the exercise is effective realignment of administrative systems rather than a reduction in staffing levels.
12. Service Excellence

Introduction

Public service delivery institutions like government hospitals, public utilities, urban local bodies and police stations are the points of interface with the government for the vast majority of people in the country. It is at this level that people’s perceptions are formed on whether government is delivering a better life for all or not. Change and improvement are especially difficult at those interface points for a variety of reasons. These include the lack of a clear service focus, proper delegation to middle and front line staff, the inability to attract staff with the right skills, the lack of essential information and inadequate funding. Over the last few years, the government has prioritized the improvement of public service institutions as part of the overall public service reform agenda. A number of measures have been introduced to enhance the functioning of institutions, including greater delegation, the introduction of information systems and capacity building. However, much more remains to be done.

Purpose of the Tool

The primary aim of the tool is to help organizations to continuously improve service delivery and provide value-for-money services for the users. These form part of the organization’s objectives for improved accountability and better performance.

Customer Focus helps to make government agencies more responsive, match customer needs with agency resources, set realistic service standards and provide leadership in service delivery. The aim of the Service Excellence Toolkit is to guide organizations through the major issues that will enable them to achieve this.
There are seven key steps involved in the service excellence model:

1. **Assess the current state.** Organizations should initially identify and assess the current state of service levels being offered to its customers through customer surveys. The customer’s service expectations could be different from that offered by the organization, as the service standards set by any organization and deliverables are based generally on employee perceptions only.

2. **Develop a Service Excellence Strategy.** Having assessed the current levels of service, the organization must develop a service excellence strategy. It should focus on external efficiency and customer relationships. It should aim to align the processes towards achieving service excellence as perceived by the customer.

3. **Establish Service Excellence Standard.** The service excellence standards are established after due assessment of organizational and employee capacities and customer expectations. It should recognize that each organization and sections within the organization may be at different levels in developing “Customer Focus” and that the process of improvement is continuous. The strategy should recognize this and, thus, encourage:
   
   a) Examination of the similarities and differences of organization’s customers for building a customer profile;
b) The use of customer feedback mechanisms to clarify customer needs, expectations from the organization;
c) Assessment of an organization’s potential for excellence in customer service;
d) Resourcing to meet targeted customer service delivery;
e) Empowerment of the front line staff and supporting and motivating them for enhancing service delivery.

4. **Build Capacity in the Organization.** The key element is ‘people’ in an organisation, who must possess the right attitude, skill sets and commitment to service excellence. Existing organizations have to evaluate the capacity of their personnel and enhance it through training and coaching. Attitudes cannot be changed in a short time. Hence organizations should place ‘right’ individuals in the front line and those with lesser ‘people skills’ in support functions. In addition, process simplification, technology and infrastructure play a key role in supporting service excellence.

5. **Measure Service Excellence.** Service excellence standards relate to service delivery processes and customer experiences. The transactions could be measured by applying quality measurement tools like ‘Six Sigma’. But the customers, whose perceived levels of service delivery influence the long-run sustainability of any organization, should gauge the real measurement of service excellence.

6. **Evaluate Service Excellence Strategy.** Evaluation of Service Excellence Strategy could be done on the following parameters:

   1. Is it based on customer needs, wishes and expectations from the organization?
   2. Does the customer fully understand the set delivery standards?
   3. Are the organization and its people energized in delivering service?
   4. Are the skill sets of the front line and capacity building efforts adequate for service excellence?
   5. Is the rest of the organization extending full support to the front line? Is the internal customer receiving due attention?
   6. Is the process of delivery ‘enjoyed’ by the front line staff?
   7. Is this process effectively institutionalized?
   8. Is change required in managing any element of the strategy?

7. **Communicate Service Excellence.** It is important to communicate the philosophy of excellence and service standards to the customers so that
they align their expectations and evaluate and appreciate the service delivery.

The purpose of the Service Excellence Model is to assist organizations to continuously build upon service improvement initiatives. The model is designed in a cyclical manner to complement a dynamic work environment.

**Who can use the Tool?**

The tool is designed primarily for agency managers and administrators at the helm of public institutions with a large citizen interface.

**Applying the Tool**

The leader of a public institution must feel a sense of urgency to enhance service delivery quality and must consider a period of two to three years for the strategy to be rolled out, for positive results to be experienced and for the service standards to be stabilized and institutionalized. Once the customers experience significant improvement in service levels, they demand that the same be maintained and continually improved upon.

**Service Excellence Best Practice – A Case Study of HDFC Ltd.**

HDFC, India’s premier housing finance company and one of the most successful, most admired and most competitive institutions in the country has set unique service excellence standards. In a poll conducted by “Euromoney” in 1998, HDFC was voted as the most competitive company in India. For two years in a row, it was also ranked as the best managed company in the country.

In 1997, the average cost of a flat or house financed by the company was Rs 398,000, and its size was a mere 800 sq. ft. The average size of a loan was Rs 199,000. This average customer was 38 year old and had a monthly household income of Rs 10,800 only. This average customer, however, was an extraordinarily reliable borrower. Against a total loan disbursement of Rs 11,200 crore, HDFC had Rs. 0.8 crore as bad debt.

HDFC pioneered the housing finance market and gave the opportunity for millions of middle-class Indians to own a home. At the same time, it has demonstrated that a wholesome business, meeting an important social need, can also be extremely profitable.
At the heart of this outstanding performance has been the HDFC management’s ability to create the kind of behavioral context that we have described as the Fontainebleau Forest in spring.

Consider how HDFC reduced the cycle time for loan approval from over four weeks to a point where the decision could be made and communicated across the table.

This process for collapsing the cycle-time was started in 1989 with a workshop attended by all the branch managers in each region. It kicked off with an overview of service management and then proceeded to identify specific bottlenecks in HDFC’s loan approval processes. Cross-functional groups were established to investigate each bottleneck and recommend solutions. A ‘champion’ was identified for the most vexing issues (20 per cent) and the participants agreed to develop a solution within a tight time-frame. At the end of the prescribed period, the various groups came back with their proposals. Once all the recommended changes were implemented, the company managed to reduce the cycle-time from 4 weeks to 2-5 days.

When customer’s expectations increased, the company ran another set of workshops in 1994. The managers found they had various unnecessary manual operations around the approval process and this resulted in needless delays. The non-essential items including manual filing were eliminated and a new set of standardized procedures was put onto the computer. This called for a team of two people to prepare each application and another two to check and approve the loan. Once implemented, this resulted in the capability to approve applications across the table.

Voluntary initiative and commitment? HDFC had a major fire in the company’s main office in Mumbai. The ground floor was gutted and it was impossible to serve customers in the office. Employee response? While some people sacrificed their personal time to regroup and re-equip the office, others took the office to the pavement outside the building and handled customer enquiries on the roadside.

What is it about HDFC that stimulates such behaviour in its people?

The wellspring of such behaviour lies in the company’s deep commitment to its customers. The company came into being as a product of the dogged
determination of one man, H. T. Parekh, who had sensed a strong need for housing finance in India. Beyond the business possibilities, Parekh was motivated by a social cause. Until then, middle-class Indians had almost no opportunities for purchasing a home. The lucky few who could do so at the fag end of their lives by encashing their pensions, gratuity and other savings. Solving the housing problem in India was, for him, a matter of deep personal passion.

He embodied this passion in a statement that defines the purpose of the company: ‘To HDFC, business is not merely about earning profits, but a way through which we can provide essential and valuable service to society’. Through his own behavior and actions and through constant exhortation to all his people, he established customer service as the core mission of HDFC.

This compelling and motivating sense of purpose was further supported by a set of values that lie at the core of HDFC’s institutional identity.

This ability to create a sense of purpose - an exciting goal that people can relate to, as well as a set of values that people guide the conduct - is a common element in every organisation that has been able to create an invigorating behavioural context. But, just articulating an overall mission is not enough; a management must also put in enormous efforts to bring that sense of mission down to the level of each employee. Creation of this sense of purpose and its linkage to the work each employee is the fundamental prerequisite for achieving service excellence.

Beyond creating a sense of purpose, it is also important to establish some fundamental people processes to support individual behaviour and commitment. It is these concrete processes that transform a purpose from an empty rhetoric to tangible reality. These include:

1. Creation of an informal atmosphere
2. Concern for people
3. Merit orientation
4. Equity
5. Sense of ownership
6. Personal development

References

1. *Managing Radical Change*, Sumantra Ghoshal, Gita Piramal, Christopher Bartlett
13. Records Management

Introduction

Proactive management of your records puts you in control. Reactive management puts your records in control.

Each day public servants create, compile, index, access, maintain, and/or transmit government information irrespective of the job title and department they work for. It is the duty of every government employee to manage the records within his/her purview. Proper records management is integral to the bureaucratic machinery. In today’s information age, the management of government information and records must be recognised as a fundamental government process (day to day activity).

There is sometimes a lack of clarity about what is meant by ‘record’ in relation to the more general term ‘information’. A ‘record’ can be defined as information generated in the course of an organisation’s official transactions and which is documented to act as a source of reference and a tool by which an organisation is governed. The records themselves form a part of or provide evidence of such transactions. As evidence, they are subsequently maintained by or on behalf of those responsible for the transactions.

What is records management?

Records management is “the field of management responsible for the systematic control of the creation, maintenance, use and disposition of records”. Records management addresses the life cycle of records, i.e., the period of time that records are in the custody of the Government agencies. The life cycle usually consists of the three stages given below:
The table below describes the various phases shown above in the diagram including the degree of records management activity involved.

<table>
<thead>
<tr>
<th>Phase</th>
<th>Activity Level</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>Creation/Receipt</td>
<td>-</td>
<td>Records are created or received and captured into a record-keeping system</td>
</tr>
<tr>
<td>Maintenance and Use</td>
<td>High</td>
<td>Records are being used for the purpose for which they were created</td>
</tr>
<tr>
<td>Semi-current</td>
<td>Medium</td>
<td>Records are stored and maintained for reference purposes</td>
</tr>
<tr>
<td>Appraisal</td>
<td>Low</td>
<td>Survey methods and retention schedules are used to appraise records for their value</td>
</tr>
<tr>
<td>Disposal</td>
<td>Very Low/Nil</td>
<td>Records are destroyed or sent to Archives</td>
</tr>
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</table>

Records Management is concerned with the effective management of records throughout their life cycle. There are several benefits of effective records management, such as:

1. It facilitates effective performance of activities throughout an agency;
2. It protects the rights of the agency, its employees and its customers;
3. It provides continuity in the event of a disaster;
4. It meets statutory and regulatory requirements including archival, audit and oversight activities;
5. It provides protection and support in litigation;
6. It allows quicker retrieval of documents and information from files;
7. It improves office efficiency and productivity;
8. It supports and documents historical and other research.

To achieve the goal of developing an effective records management system, it is necessary to enact and implement comprehensive legislation to regulate the life-cycle, management of records and archives, irrespective of medium and format, designating a single authority to oversee the process and assigning clear responsibility for actions at each stage. The “Public Records Act, 1993” and “Information Act, 2002”, enacted by Government of India, lay down the
principles for managing, maintaining and monitoring records in Government departments.

Purpose of the Tool

Without a well coordinated records management system you could be buried under mounds of paper. No perfect formula for efficiently managing large volumes of paper exists; each system requires time and perseverance. There has been no concerted effort by Central and State Governments to move towards more effective government records management practices. Many government departments at centre as well as the state governments do not even have a basic records management guide. Although records management in itself is a complicated process, this tool enables public servants to have a basic idea on the concept of records management and the importance of it.

Salient features of the Tool

Keeping in mind the state of the record rooms in Government departments across India, there is an urgent need to take up the process of revamping government records management before the system deteriorates further. This tool can be used in several ways:

1. As a vehicle for understanding and communicating several basic concepts that will aid in the management of government records and information contained in them.
2. As guidance on how best to establish and/or improve ‘life-cycle’ records management activities.

The tool is not exhaustive and only aims to provide a basic understanding on the importance of having good records management systems.

Applying the Tool

Four Step Records Management Plan

Step 1. Determine who will be responsible and what resources will be needed.

Establish a project team with representatives from all sub-units and job series (not just support and clerical staff) to oversee the project. The project team should:
1. Set up a network of "records liaisons" with a lead person and liaisons for each office.
2. Decide whether everything will be done "in house" or whether outside help (e.g., contractors) is required.
3. Select one office or sub unit in which to initiate the project. Based on the experience gained in this one office, you can estimate the resources needed to do other offices.

Step 2. Identify records needed to document the activities and functions of your office.

Conduct an inventory of the materials in your office. Don't forget to include empty offices, closets, and other areas where things may have been "stashed."

A records survey is a complete inventory of an agency’s records holdings. It identifies all records, where they are located, and in what quantity. The survey includes all types of records with an agency. Having a records survey is an essential first step in any records management programme. At a later stage the survey will prove to be a vital document in identifying vital records, formulating disaster management plans and above all it acts as a working document for preparing a records retention and disposition schedule. After completing a records survey, agencies usually discover that many records can be destroyed or moved to inactive storage. Empirical studies of record surveys have shown that approximately 30% of the total volume of records can be destroyed, 30% can be moved to inactive storage and the balance can be retained as active files. A survey form should be used by an agency to capture vital information on the type of records and record series in a record room. An agency may design its own form to carry out a records survey. However the survey worksheet should capture vital informations such as type of file, record series title, description of the record series, number of records in the series, public access restrictions, recommended retention period etc.

Step 3. Match your records to the records schedules.

The next step in the project is to match the records identified in your inventory with the records retention and disposition schedules. Records schedules provide information on how long records are to be kept in the office and what happens when they are no longer needed in the office. Retention periods as stated in the schedules are mandatory. If a records schedule is still in draft, you cannot
destroy records covered by that schedule until it has been approved by the people concerned.

Records should only be destroyed systematically and under an approved records retention programme. Organizations should avoid selective destruction and selective retention. As far as possible the element of subjectivity and discretion must be reduced while retaining or destroying records. When determining minimum retention periods and final disposition requirements, the records can be broken down into four categories of those having administrative value, fiscal value, legal value and historical value.

**Step 4. Prepare a "file plan."**

Now that you know what records you have and what the appropriate records schedules are, you can begin to organize them. Once you have identified the file code, place them in alphabetical and numerical order, then determine if there will be sub-categories or sub-folders and what they will be like. Prepare a file plan, which gives details on:

1. How are your records organized and maintained?
2. Who is responsible for doing what?
3. When it should be done (e.g., annual file retirement)?
4. What happens to the records when they are no longer needed in the office?

**Risks involved and key success factors**

1. This tool is meant to provide a basic understanding on the concept of records management and to sensitize public servants on the importance of records management in public service. It should not be seen as a comprehensive and complete guide to records management.
2. Records survey is the most important step while revamping records management systems. It acts as a foundation for the entire process and acts as a key success factor in determining the effectiveness of a records management system. The whole exercise of records management hinges on the records survey with important elements such as preparation of an inventory of records and retention schedules directly depending on it.
3. While undertaking the records survey it is very important to select the right team with the right kind of determination. The team will need to undergo training and also be sensitized on the process of records management. The time spent on selecting the team and training is worthwhile.
4. Regular inspection and review of the records system is a must. Maintaining records on an ongoing basis will ensure that the systems function efficiently without the need to carry out a major task of revamping the entire record system once it gets obsolete in few years time.

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**Case Study: Nalgonda Managerate Record Room**

The record room at the Nalgonda Managerate in Andhra Pradesh is a praiseworthy improvement over the old style record rooms peculiar to most of the other government offices. The record room is clean and the record registrars are maintained in a very orderly fashion. The Managerate has replaced outdated wooden racks with new Godrej compactors, which occupy less space and are more user friendly.

The above figures show the new Godrej compactors being used at the Nalgonda Collectorate. The compactors enable the records to be stored safely and also enable better space management.

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**References**


14. Legal Caseload Management System

Introduction

Government departments have to face litigations filed by citizens, department officials, contractors and others from time to time. In complying with the legal processes the government is required to be in constant interaction with the Government Pleaders (GPs) who represent the government in the courts. The department concerned is necessitated to give proper information concerning the matter before the court, keep the GP informed of all aspects of the matter involved in order to ensure an informed effective representation. The government litigation is in a sad state of affairs today due to various factors like delay in filing of the replies concerned, resulting in cases disposed off exparte, adversely for the government. The delay can be attributed to lack of proper working interaction between the departments concerned and the GPs, resulting in the cases disposed off without the government availing its chance of effective representation before the court. The lack of a systematic working pattern to deal with legal cases by the government is one of the major factors for causing delay in disposal of government cases.

<table>
<thead>
<tr>
<th>Factors Responsible for Delay in Government Cases</th>
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<tbody>
<tr>
<td>1. Lack of communication between government and GPs</td>
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<tr>
<td>2. Delay in submission of para-wise remarks by departments</td>
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<tr>
<td>3. Counters not filed in time by GPs</td>
</tr>
<tr>
<td>4. Frequent seeking of adjournments</td>
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<tr>
<td>5. Non-contesting of cases by producing required evidence</td>
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<tr>
<td>6. Difficulty in tracking the status of cases</td>
</tr>
<tr>
<td>7. Non-maintenance of case details - Priority-wise, Court-wise, GP-wise, Department-wise</td>
</tr>
<tr>
<td>8. Lack of information on the number of cases, the courts in which they are pending, details of the GPs dealing with the cases etc.</td>
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</table>

It is a fact that in India the government has been the major litigant. A sample survey conducted in Karnataka found that in 65% of civil cases, the government was a litigant, sometimes on both sides. Government litigation crowds out the private citizen from the court system. Much of this government litigation is in the form of appeals. This survey also found that 95% of government appeals fail. In
many cases, issues already decided by courts are battled again. This takes away a lot of valuable court time and results in more expenditure for the government. Most of the burden on the court systems will reduce if the quantum of government litigation is reduced.

Proper “Legal Caseload Management” must be undertaken by the government to effectively plan its legal action in all cases. This can have a twofold impact; it would result in a better utilization of resources, while simultaneously reducing the case load burden on courts. Legal caseload management is a ‘process’ by which the client or person concerned, including a government agency, and the lawyer move the case from inception, through development, to judgement till its final disposal by effectively managing the resources. This can be achieved through a web tool which will help the government departments in keeping track of all the cases in which the government is a party, monitor the various stages of the cases, seek and receive information pertaining to all aspects of litigation like affidavits, vacation petitions, appeals, arbitration cases etc.

**Purpose of the Tool**

It is incumbent on the part of the government to have proper planning before resorting to legal action of any kind. “Legal Caseload Management” is the process of planning, arranging and accordingly, implementing action in the matters relating to legal action for achieving optimum results. A web enabled “Legal Caseload Management System” (LCMS) has been developed to maintain the information about the cases in which government is involved in various courts such as Munsif Courts, District Courts, High Court and Supreme Court of India. The LCMS can be accessed by Secretaries, Heads of Departments (HoDs) and GPs concerned of High Court with their user ID and password. They can seek and receive information pertaining to all aspects of litigation like affidavits, vacation petitions, appeals and arbitration cases. The LCMS also provides for categorization of all the cases priority-wise to enable the departments to provide immediate attention and take appropriate steps.

The system aids the government in monitoring the status of the cases filed and generates various reports like daily affidavit registers, appeal registers, G.P wise pending statements, delay in filing counter affidavits, adjournments and also brings out interaction between the governments and GPs while asking for para-wise remarks etc.
The proposed tool “Legal Caseload Management System” will help the government to:

1. Monitor legal cases pertaining to government departments
2. Bridge the communication gap between government departments and GPs
3. Monitor on the basis of classification based on priorities like A - Most critical, B - Important and C - Ordinary
4. Analyze the roles of GP, HoDs, Section Officer etc.

Salient Features of the Legal Caseload Management Systems

Every government department, at all levels, is amenable to legal action initiated by it or by others. Whenever the government decides to litigate or is made a party to a litigation it has to go through various steps to manage the litigation at hand. Legal caseload management happens at all levels from the inception of the problem till its final disposal from all angles.

The LCMS is designed to bring out all the information relating to any particular case at a click of a button by the user. The system provides various entries like when and from whom the government has received a notice of the case, who is the GP involved, date of para-wise remarks requested and sent, the date of the draft counter sent by the GP for approval by the government, the date of filing of the counter etc. The system also provides for recording of number of adjournments taken and its details. It also takes care of all further processes resulting from the main case involved like interlocutory applications etc.

When all the related required information is provided the LCMS is designed to retrieve information and generate reports as and when asked. It can provide information like when the particular case was filed, when it came to the notice of the department, when para-wise replies were filed, when counter was filed etc., thereby bringing to light the time lag involved. This system can be used as a tracking mechanism to explore where the delay was actually caused, thereby identifying the lapses involved. This would result in prompt action being taken and better utilization of resources.

The LCMS also provides for recording of the details of judgement, the follow up action taken by the department concerned etc. Whenever a judgement is not in
favour of the government and where there is a possibility of the government going on appeal, the system provides for recording of this aspect also. It allows recording of the action to be taken by the department concerned on the judgement given against it, the opinion of the GP whether to go on appeal or not etc. Overall it is a comprehensive package that takes care of all aspects from filing of cases to their disposal.

Another added feature provided by this mechanism is that it allows uploading of documents concerning the case involved at all times. This will enable maintaining of case history electronically in conjunction with paper records.

The LCMS is aimed at providing a detailed overall picture of any government case. It can act as a proper scrutinizing mechanism explaining all the aspects of the case involved from the point of time of filing. As all the events relating to any case are recorded there is a constant updation done resulting in prompt action. The Secretary can get any information relating to the case involved, from this web enabled LCMS. This will help him/her to scrutinize any delay involved, the officials involved in causing the delay, the judgements got against or in favour etc. and enable him to take necessary action. Such a constant monitoring facilitated by this package will result in reducing the *ex parte* orders and also contempt against the government. This tool will enable access to information on cases filed and act as an efficient tracking device, thereby saving time and government exchequer.

**Who can use the Tool?**

This web enabled LCMS can be used by government officials like

1. District Managers
2. HoD’s of each Department
3. Government Secretaries
4. Government Pleaders of respective departments

The system is designed to provide access using particular login IDs given to each person depending on their roles. The person required to input all the details, i.e., the data entry operator is given a separate ID which will enable him to login on to case entry form. Every Department Secretary is given a unique ID which will enable him/her to get data on the cases relating to the concerned department and
then accordingly take the decision. The Chief Secretary is given an ID which will help him/her to access information relating to all departments and get any cumulative related information. All the government pleaders concerned are also given unique IDs to input the required data at their end.

Application of the Tool

The implementation of LCMS requires the following:

Training programme

The tool requires training and capacity building of all persons operating the system depending on their roles. The training should include an introduction to the various legal terminologies involved, the court process, the procedures involved, the hierarchy of Courts, the various legal documents involved, and other legal processes to familiarize them with the legal procedures, along with the features of the package. The training on LCMS would familiarize them with the various steps involved in the tool, the data entry, the report generation and other features of the tool.

Backlog cases

It is an accepted fact that there is huge amount of backlog of cases. The proposed tool should take care of both the backlog cases and the new cases filed after the incorporation of the tool. So the tool has two entry forms - one for the backlog cases and the other for new cases. A break-up date has to be decided and all the cases before that date in whatever stage they are, would be considered as backlog cases and the cases filed after that date would be considered as new cases. This is to facilitate easy recording of details.

Data entry

The data entry operators are required to enter the details concerned of the cases as per the entry forms available on the tool. The tool requires the following data to be entered like information relating to the petition, petitioners’ and respondents’ names, the names of the advocates representing them, the date of filing, the date of listing, the details of interlocutory applications filed, the Interim Orders, if any, the date of para-wise replies asked by the GP, the date on which the para-wise replies are given by the department concerned, the details of the materials given by the department to the GP, the date of filing of the counter
reply, the various adjournment dates along with their details, the next posting date, the stage and the status of the case, the judgement details, appeal details, date of admission, in their respective entry forms. The tool comprehensively covers all the details relating to any case including the post-judgement scenario. The tool, when installed, requires all the information relating to backlog cases and the details of new cases to be entered as on date. Later, depending on the progress of the cases, there has to be a constant updation of the developments, if any. This cycle goes on.

**Report generation**

The Chief Secretary and the Secretaries concerned can get precise details of the cases entered by a click of the button. The tool is designed to generate reports which will explain the delay in filing the cases, the reason for the delay, where the lapse has occurred, the judgement details and others.

**Decision making**

Depending on the reports generated the concerned authority can take suitable decisions on the matter at hand. The tool would make available all the information related to the cases in one place, thereby, facilitating easier and quicker decision-making. The tool would also keep the departments informed about the development in the cases. This can go a long way in avoiding exparte disposals and contempts.

**Upgradation of the Tool**

The feedback given by the people using the tool at all stages will be constantly taken to upgrade the tool to meet the needs of the day. The tool is a dynamic one which can be customized to the needs of any department.

**Risks Involved**

The above tool requires constant data entry depending on the development of the case. The report generation is based on the data entered and care should be taken to see that all the required data is entered correctly and regularly.

The above tool, if implemented, can assist the government agencies to cut litigation costs. It can enable the government departments to take informed decisions on legal matters. The above tool can act as a monitoring and tracking tool, tracking all legal cases concerning the government. It can reduce the delay in the court procedures, thereby reducing the burden on the courts.
15. Environmental Impact Assessment Methodology

Sustainable Development and Impact Assessment

Sustainable development is increasingly accepted as a fundamental objective for public policy and decision-making. It encompasses the economic, environmental and social dimensions of the development process. The growing acceptance of sustainable development as an over-arching policy goal has stimulated interest in assessing the impact of particular interventions on sustainable development at aggregate, sectoral or project levels. Impact assessments help in identifying the likely positive and negative impacts of proposed policy actions, likely trade-offs and synergies, and thus facilitate informed decision-making.

The multidimensional nature of development intervention calls for identification of not only potential economic impacts but also potential social and environmental impacts. The fallouts of greater urbanization, population growth and globalization can have adverse social impacts in the form of increasing poverty, dislocation of vulnerable sections of the society, loss of livelihood etc. Simultaneously, the environment could also be adversely affected viz. increase in air and noise pollution, water pollution, land degradation etc.

Environmental Impact Assessment (EIA)

Environmental Impact is defined as “any alteration of environmental conditions or creation of a new set of environmental conditions, adverse or beneficial, caused or induced by the action or set of actions under consideration”. Environmental Impact Assessment is a tool to identify and evaluate the environmental impacts of proposed actions/projects/plans/programmes. More specifically EIA is one of the crucial aids for decision-making process as EIA involves not just evaluation of the possible impacts but also mitigation of such impacts.

“EIA is a formal study process used to predict the environmental consequences of the proposed developmental project, find ways to reduce unacceptable impacts, and shape the project so that it suits the local environment, and present these predictions and options to decision-makers”. (UNEP,1988)
Stages in Environmental Impact Assessment

Environmental Impact Assessments can be undertaken through a number of stages with many permutations and combinations. The basic steps that are involved in the EIA process are given in the diagram below:

**Different Stages in EIA**

1. **Screening**
2. **Scoping**
3. **Baseline Assessment**
4. **Evaluation of Impacts**
5. **Management & Monitoring**
6. **Field Survey and Sampling**
7. **Already existing Data**
8. **Public Participation**
9. **Mitigation Measures**

**Step 1. Screening**

Screening is done to determine the boundaries of EIA. It is concerned with selecting ‘developments’ that require assessment and avoiding ‘developments’ that do not require one. Conduct of screening thus involves making a proposal on the ‘developments’ in terms of its impact on the environment and of its relative significance. A certain level of basic information about the proposal and its location is required for this purpose. The screening procedures that are employed can be based on the already existing legal frameworks that emphasize the requirement of an EIA. However, some proposals will be on the borderline in relation to a listed threshold and for others, the environmental impacts may be unclear or uncertain. In these situations, case-by-case screening should be
undertaken, applying any indicative guidelines and criteria established for this purpose. This, of course, provides the authorities greater discretion than mandatory lists in determining the requirement for EIA.

**Step 2. Scoping**

Scoping is primarily done to confirm the requirement of an EIA and identify the critical and early steps in the preparation of an EIA. Scoping helps in early evaluation of the purpose, need, alternatives and assessment of the proposed project and better utilization of resources. In short, it establishes the boundaries identified in screening, important impacts to be considered for the EIA and the necessary information required for an apt decision. It is important to have sufficient information about the project and the areas which are going to be affected because of the new project, and feasible alternatives to the proposed action can only be identified on the basis of this information.

A systematic and transparent approach should be taken to sifting and paring down the concerns, issues and impacts. This can be undertaken in three steps (UNEP EIA training Manual).

1. **compile** a ‘long list’ of concerns from the information available and the inputs of stakeholders. No attempt should be made at this stage to exclude or pre-judge concerns.
2. **derive** a ‘short list’ of key issues and problem areas based on their potential significance and likely importance for decision-making on the proposal. This phase involves evaluating the issues against selected criteria; for example, differentiating serious risks or threats from effects that can be mitigated.
3. **classify** and order the key issues into ‘impact categories’ by reference to policy objectives and scientific concepts, such as emission levels that may exceed health or environmental standards.

**Step 3. Baseline Assessment**

Baseline data is a very important information in EIA due to following reasons:

1. To provide a basis of comparison for comparing the environmental impact of proposed action and its alternatives, including no-action alternative;
2. To develop an understanding of the project and study area by defining the environmental characteristics of the study area, its geographic location and importance;
3. To identify the critical environmental factors and items by making a list of environmental factors that are either to be included or need not be included.

**Steps to develop a baseline information database for EIA**

List the factors and parameters to be considered for the project EIA

List the organizations to be consulted for secondary data

- Set the monitoring stations to collect environmental data if it is not available from other agencies
- Acquiring different kinds of maps and imagery of the study area
- Finalize the means of collecting socioeconomic data if not available from other agencies

- Collect data at required intervals over the specified period
- Extracting the required information from maps and imageries
- Collect socioeconomic data from total population

Preparing Baseline information database

**Step 4. Impact Analysis**

The aim at this stage is to take stock of the impacts the proposed project may have made and to make sure that the indirect and cumulative effects of proposed actions are adequately recognised. Impact analysis starts from the first stage, i.e., screening itself and continues through scoping, wherein specific impacts are classified into categories. This stage can be broken down into three overlapping phases:

1. **Identification** - to specify the impacts associated with each phase of the project and the activities undertaken;
2. **Prediction** - to forecast the nature, magnitude, extent and duration of the main impacts;
3. **Evaluation** - to determine the significance of residual impacts i.e. after taking into account how mitigation will reduce a predicted impact.
Typical parameters to be taken into account in impact prediction and decision-making include:

1. nature (positive, negative, direct, indirect, cumulative);
2. magnitude (severe, moderate, low);
3. extent/location (area/volume covered, distribution);
4. timing (during construction, operation, decommissioning, immediate, delayed, rate of change);
5. duration (short term, long term, intermittent, continuous);
6. reversibility/irreversibility;
7. likelihood (probability, uncertainty or confidence in the prediction);
8. significance (local, regional, global).

**Step 5: Management and Monitoring**

Mitigation measures are implemented as part of impact management. This process is accompanied by monitoring to check that impacts are ‘as predicted’. In some cases, it may be necessary to establish or strengthen impact management systems to facilitate the implementation of mitigation measures during project construction and operation. These supporting actions should be identified as part of the *Environmental Management Plan (EMP)*.

An effective Environmental Management Plan should include (but is not limited to) the following components:

1. establishment of agreed performance criteria and objectives in relation to environmental and social impacts
2. detailed prevention, minimisation and mitigation strategies or action programs (including design standards) for controlling environmental impacts
3. details of the proposed monitoring of the effectiveness of remedial measures
4. details of implementation responsibilities for environmental management
5. timing (milestones) of environmental management initiatives
6. reporting requirements and auditing responsibilities for meeting objectives of environmental performance
7. corrective actions (as options) to rectify any deviation from performance standards

A monitoring programme is critical for effective environmental management and protection. An effective monitoring plan should clearly define goals, objectives and purpose, identify components to be monitored, identify
participants/stakeholders, identify time and spatial scales for monitoring, describe monitoring methods and enable public accessibility.

References

1. Centre for Good Governance, Social and Environmental Assessment Report, Proposed Andhra Pradesh Urban Reforms and Municipal Services Project, 2004
4. EIA Training Course, Tellus Institute, "Basic Concepts for Assessing Environmental Impacts", www.encapafrica.org
16. Social Impact Assessment Methodology

The impacts of development interventions take different shapes. While significant benefits flow forth from different development actions, there is need to also identify and evaluate the associated negative externalities.

Social impacts are impacts of developmental interventions on human settlements. Such impacts not only need to be identified and measured but also need to be managed in such a way that the positive externalities are magnified and the negative ones minimized. This document provides a realistic methodology for appraisal of possible social ramifications through active stakeholder participation and their effective mitigation.

Social Impact Assessment (SIA)

Social Impact Assessment (SIA) is predicated on the notion that development interventions have social ramifications and it is imperative that decision-makers understand the consequences of their decisions before they act and people affected get the opportunity to participate in designing their future. Social assessment helps to make the project responsive to social development concerns. Developmental initiatives informed by social assessment alleviate poverty, enhance inclusion and build ownership while minimizing and compensating for adverse social impacts on the vulnerable and the poor.

Social Impact Assessment can be defined in terms of efforts to assess or estimate, in advance, the social consequences that are likely to follow specific policy actions (including programs and the adoption of new policies), and specific government actions. It is a process that provides a framework for prioritizing, gathering, analyzing, and incorporating social information and participation into the design and delivery of developmental interventions. It ensures that development interventions: (i) are informed and take into account the key relevant social issues; and (ii) incorporate a participation strategy for involving a wide range of stakeholders.
**Step 1: Baseline Conditions**

The baseline conditions are the existing conditions and past trends associated with the human environment in which the proposed activity is to take place. This varies with the type of project being taken up. For instance, in the case of construction projects, the baseline unit may be a cluster of population identified along with the distribution of special populations at risk. The relevant human environment may be a more dispersed collection of interested and affected public, interest groups, organizations and institutions. The generic set of dimensions for investigation should include (a) population characteristics (b) community and institutional structures (c) political and social resources (d) individual and family changes and (e) community resources.
Step 2: Public Involvement

This requires identifying and working with all potentially affected groups starting at the very beginning of planning for the proposed action(s). Groups affected by proposed actions include those who live nearby; those who will be affected by the development intervention; those who are forced to relocate because of a project; and those who have interest in a new project or policy change but may not live in proximity. Others affected include those who might normally use the land on which the project is located (such as farmers who have to plough along a transmission line). Still others include those affected by the influx of seasonal residents who may have to pay higher prices for food or rent, or pay higher taxes to cover the cost of expanded community services.

Once identified, representatives from each group should be systematically interviewed to determine potential areas of concern/impact, and ways each representative might be involved in the planning decision process. Public meetings by themselves are inadequate for collecting information about public perceptions. Survey data can be used to define the potentially affected population. In this first step, the pieces are put in place for a public involvement programme which will last throughout the environmental and social impact assessment process.

Step 3. Project Description & Identification of Alternatives

<table>
<thead>
<tr>
<th>Participatory design and impact monitoring in the Philippines – Water Districts Development Project</th>
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<tbody>
<tr>
<td>The Water Districts Development Project focuses on surveying water users’ willingness to pay as a crucial element in the development of water districts in the Philippines. All sewage, sanitation and drainage projects are developed in collaboration with households, communities and city councils. Engineering designs are presented case-by-case and implemented using a demand-based approach, according to individual and community willingness to pay. Local organizations act as monitors, relaying information about the progress of the projects under construction. Capacity building for community organizations is budgeted through the training programme of the sewage and sanitation development component. Local accountability also plays a role. Water supply and sanitation services provided by decentralized organizations are accountable to local officials, who work with community representatives at all stages of project design and implementation.</td>
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</table>

In the next step, the proposed action is described in enough detail to enable identification of the data requirements to frame the SIA. This should include:

1. Location;
2. Land requirements;
3. Needs for ancillary facilities (roads, transmission lines, sewer and water lines);
4. Construction schedule;
5. Size of the workforce (construction and operation, by year or month);
6. Facility size and shape;
7. Need for a local workforce;
8. Institutional resources.

It is equally important to identify feasible alternatives for proposed actions within the ambit of the project.

**Step 4. Screening**

Screening is done to determine the boundaries of SIA. It is concerned with selecting ‘developments’ that require assessment and avoiding ‘developments’ that do not require one. Conduct of screening thus involves making a proposal on the ‘developments’ in terms of its impact on people and of its relative significance. A certain level of basic information about the proposal and its location is required for this purpose. Screening procedures employed can be based on the already existing legal frameworks.

**Step 5. Scoping**

After initial screening, the SIA variables need to be selected for further assessment. Consideration needs to be given both to the impacts perceived by the acting agency and to those perceived by affected groups and communities. The principal methods to be used by experts are reviews of the existing social science literature, public scoping, public surveys and public participation techniques. It is important for the views of affected people to be taken into consideration. Ideally, all affected people or groups contribute to the selection of the variables assessed through either a participatory process or by review made by responsible officials.

Relevant criteria for selecting significant impacts include the
1. Probability of the event occurring;
2. Number of people including indigenous populations that will be affected;
3. Duration of impacts (long-term vs short-term);
4. Value of benefits and costs to impacted groups (intensity of impacts);
5. Extent to which the impact is reversible or can be mitigated;
6. Likelihood of causing subsequent impacts;
7. Relevance to present and future policy decision;
8. Uncertainty over possible effects;
9. Presence or absence of controversy over the issue.

**Step 6. Predicting Responses to Impacts**

“Social impacts” refer to the consequences to human populations of any public or private actions - that alter the ways in which people live, work, play, relate to one another, organize to meet their needs and generally cope as members of society. The term also includes cultural impacts involving changes to the norms, values, and beliefs that guide and rationalize their cognition of themselves and their society.

Adverse social impacts could be in the form of:
1. Loss of Land;
2. Loss of Structures;
3. Loss of Livelihood;
4. Loss of crops/trees;
5. Loss of access to community infrastructure/public utility lines.

After the direct impacts have been estimated, how the affected people will respond in terms of attitudes and actions must be taken into account. Their attitudes before implementation predict their attitudes afterwards, though there are increasing data that show fears are often exaggerated and that expected benefits fail to meet expectations. The actions of affected groups can be estimated using comparable cases and consultations and interviews. A lot depends on the nature of local leadership (and the objectives and strategies of these leaders) - this makes such assessments highly uncertain. However, such an exercise enables policy makers to be aware of potential problems and unexpected results. This step is also important because adoption and response of affected parties can have consequences of their own - whether for the agency that proposes an action (as when political protests stalls a proposal) or for the affected communities, whether in the short-term or in the long-term.
Patterns in previous assessments guide this analysis, and expert judgment and field investigations are used to see whether the study case follows the typical patterns or is it developing uniquely. Being able to show potentially affected people that significant impacts are being incorporated into the assessment is critical to the success of this step.

**Step 7. Management & Monitoring**

Use of social impact assessment is not just to forecast impacts - it should identify means to mitigate adverse impacts. This includes the possibility of avoiding the impact by not considering the project at all, if the felt impact is likely to be too severe. Alternately if the predicted impact is minimal and can be managed, mitigation measures must be put in place. This could be in the form of:

1. Modification of the specific event in the project;
2. Operation and redesign of the project or policy;
3. Compensation for the impact by providing substitute facilities, resources and opportunities.

Ideally, mitigation measures should be built into the selected alternative, but it is appropriate to identify mitigation measures even if they are not immediately adopted or if they would be the responsibility of another person or government unit. Ideally effort should be to avoid all adverse impacts.

A Social Management Plan must be prepared. The components of the SMP must include the following:
1. Enumeration of the Project Affected Persons/Families;
2. Measures to Minimize Resettlement;
3. Consultation and involvement of PAPs;
4. Entitlement Framework;
5. Institutional Arrangements.

A monitoring programme should be developed that is capable of identifying deviations from the proposed action and any important unanticipated impacts. This should track project and program development and compare real impacts with projected ones. It should spell out (to the degree possible) the nature and extent of additional steps that should take place when unanticipated impacts or those larger than the projections occur.
References

1. Centre for Good Governance, Social and Environmental Assessment Report, Proposed Andhra Pradesh Urban Reforms and Municipal Services Project, 2004


17. Internal Audit

Context

Internal audit is a process through which effective and efficient control over finances of various departments can be established. It has been recognized as a tool for the higher management to monitor the financial performance and effectiveness of various programmes, schemes and activities. Internal audit is conducted through the Internal Audit Wings in the Principal Accounts Offices of various Ministries/Departments.

After Independence, there has been a tremendous spurt in economic development and social welfare activities, with a corresponding increase in receipts, expenditure and borrowings. The change in the character of government and the complex nature of its activities call for a change in the nature and scope of audit. Audit has evolved from mere accounting and regularity check to evaluation of the systems and outcomes on the criteria of economy, efficiency and effectiveness.

Normally, the month of May is the month of internal audit all over the world. However, each department or organization may have its own pattern, i.e., monthly, quarterly, half yearly, or on a concurrent basis.

Major objectives of internal audit are to:

1. ascertain whether assets are properly procured, recorded, maintained & safeguarded;
2. assess the reliability and integrity of information and reporting thereof;
3. verify compliance with established policies, procedures, guidelines, agreements, laws and regulations;
4. identify means to eliminate waste and misuse of resources, and other risks to develop productive cost control measures;
5. recommend improvements relating to efficiency, economy and effectiveness in the use of departmental resources.

Purpose of the Tool

Internal Audit is an important tool of management and is one of the ways by which departments maintain the integrity, reliability, efficiency and effectiveness of financial and other management control systems.
Internal audit is an independent appraisal activity to review and appraise accounting, financial and all other operations as may be assigned. The audit activity is an integral part of the overall system of internal control.

Independence and accessibility to information sources are essential elements that permit audit work to be performed freely and objectively.

**Salient features(description)**

Internal auditor must play a strong and visible role in governance, risk management and internal control processes. Internal auditor should be more of a consultant rather than a classical auditor. This directive also emphasizes the importance of adhering to the Code of Ethics and Standards.

Internal auditor should plan the audit in a manner, which ensures that a high quality audit is carried out in an economic, efficient and effective way and on time. It should also adhere to Accounting & Auditing Standards of the appropriate authority/agency.

The work of the audit staff at each level and audit phase should be properly supervised during the audit; and a senior member of the audit staff should review the documented work. If the audit findings/communications involve any error or omissions, the audit chief should communicate the corrected information.

The auditor, in determining the extent and scope of the audit, should study and evaluate the reliability of internal control. The auditor should see that all the records/registers concerned are maintained by the department/organization.

Internal auditors should determine their level of involvement in the department’s activities based on several factors such as risk assessment, departmental staff’s experience, authority involved, size and complexity of the department’s project initiative and impact on the department, if the initiative is delayed or unsuccessfully implemented.
The most appropriate audit approach needs to be defined during the audit project planning phase.

**Internal audit of accounts**

Internal audit of accounts includes the audit of receipts and expenditure of any government department/organization.

**Audit of receipts**

Internal auditor should see that all the receipts/grants/amounts due to the government etc., are assessed, realized and credited to the account concerned. Audit of receipts should be regulated with reference to the financial rules/orders which may be applicable to the particular receipts involved.

**Audit of expenditure**

Audit of expenditure is to see that all expenditure incurred is in accordance with the rules and regulations, such as budget provisions, sanction by competent authority, tender procedures in case of major purchases/constructions/repair works etc.
Important areas of concentration when internal audit of expenditure, in case of construction (original/repair) works is done are:

1. Recoveries to be made from the bills
2. Observance of defect liability period and refund of deposits
3. Rates for supplemental/new items
4. Lumpsum provisions in estimate for technical agent and insurance
5. Verification of estimated rates using approved designs, drawings and standard data
6. Quality control certificate
7. Split up of a single major work into various smaller works to avoid sanction by higher authority etc.
8. Annual physical verification of stores and stock must be done once in a year as far as possible by an independent authority other than the authority who has control over the stores and stock.

**Forms/types of Internal Audit**

**Regularity (Financial) Audits**

In conducting regularity (financial) audits, a test should be made of compliance with applicable laws and regulations. The auditor should design audit steps and procedures to provide reasonable assurance of detecting errors, irregularities and illegal acts that could have a direct and material effect on the financial statement amount.

**Performance Audit**

In conducting performance audit, an assessment should be made of compliance with applicable rules and regulations, when necessary, to satisfy the audit objectives. Auditor should be aware of fraud indicators.

Audit against provision of funds to ascertain whether the monies shown as expenditure in the accounts were authorised for the purpose for which they were spent.

Audit of sanctions for expenditure is to see that every item of expenditure is done with the approval of the competent authority in the Government for expending the public money.
Propriety Audit

Propriety Audit extends beyond scrutinising the mere formality of expenditure to its wisdom and economy and brings to light cases of improper expenditure or waste of public money.

Efficiency cum Performance audit

This is to see that government programmes have achieved the desired objectives at lowest cost and yield the intended benefits.

Competent, relevant and reasonable evidence should be obtained to support the audit observations.

In regularity (financial) audit, and in other types of audit when applicable, auditors should analyse the financial statements to establish whether acceptable accounting standards for financial reporting and disclosure are complied with. Analysis of financial statements should be performed to such a degree that a rational basis is obtained to express an opinion on financial statements.

An Internal audit consists of the following steps or phases:

Planning and Interview

The planning phase is to identify risks and common control procedures associated with the activity to be reviewed, to establish audit objectives and goals, and gain familiarity with the activity being audited. The interview is to determine controls that exist, to guard against risk as well as to discuss audit objectives and scope with department and to respond to department’s request for any areas to be included within the scope of the audit.

Audit Programme

The development of the audit programme includes the process of identifying and documenting the audit procedures to be performed to assure that audit objectives are accomplished.
**Fieldwork and Testing**

Performing audit procedures and tests to determine the adequacy and effectiveness of internal control procedures and the degree of compliance with objectives, rules and regulations, procedures, laws etc.

**Draft Report and Exit Conference**

Review audit issues and draft reports with administrators. Based on the exit conference, necessary revisions are made to the report which is then distributed with the audited activity administrator’s written response to audit findings.

**Follow-up**

A subsequent follow-up audit is scheduled at the convenience of the staff of the activity audited to determine that effective action has been taken to resolve audit findings.

**Who can use the Tool?**

This tool enables an internal auditor to audit the accounts effectively and efficiently as it provides for planning/supervision/review of audit, reliability of internal control, compliance with applicable regulations etc., audit evidence and analysis of financial statement.

The internal audit staff should be carefully selected to ensure that they have the knowledge, skills and competence to perform their task. They must have the ability to identify indicators of fraud.

**Applying the tool**

This tool can be applied for the purpose of internal audit of any government department with the following principles:

The internal audit staff should plan; the work of the audit staff should be supervised and a senior most auditor should review; the audit staff should study and evaluate the reliability of internal control; the conducting of audit should be in compliance with applicable laws and regulations; the audit observations must be based on evidence; and the audit staff should analyse the financial statements rationally.

**Best Practices**

1. Build an internal audit staff that supports the needs of the departments;
2. Structure the internal audit department on a fluid, flexible framework;
3. Internal audit departments must adapt to changing priorities of the government;
4. Create a risk-based audit programme - considering all areas of risk.

Risk-based audits use audit resources more efficiently, ensure that departments are sufficiently focused on key risks and allow for a degree of flexibility that enables the departments to adjust to shifting priorities.

1. Combat fraud by advocating high ethics;
2. Undertake Information Technology Audits;
3. Provide specialist auditors to suit specific assignments, e.g., Treasury, e-commerce, IT infrastructure.
Risks involved and key success factors

Non-conducting of internal audit of any government department may involve some risks. The success of meeting the desired goals of any government department in the fast changing world depends upon the internal audit of that department. This tool will greatly help the internal audit system in an efficient fine-tuned and streamlined method of internal audit.

References

1. *Scope of the Standards on Internal Audit*, Institute of Chartered Accountants of India
2. *A Measure for Internal Audit*, State Accounts Department, Government of Karnataka
18. Citizen Survey Methodology

Context

With increasing access to information and the democratization of knowledge, the role of citizens in the process of governance is undergoing a paradigm shift. From being mere recipients of a one-way dialogue (or should we say monologue), citizens now increasingly demand to be consulted and seek to participate in the decision-making process, rather than just serve as the ‘sleeping mass’ in a representative democracy. In the light of changing aspirations of the citizens, it is incumbent on the State to provide ways and means to enhance the role of citizens in the decision-making process and facilitate better State-Society articulation. Citizens’ Surveys assume importance in this context. The tool below supplies the necessary information regarding survey methodology in simple, non-technical language for use by Government Departments.

Purpose of the survey methodology

Citizens’ surveys provide inputs that aid and enable the government to frame policies, evaluate programmes, assess and improve service delivery, map attitudes and preferences, study voting intentions and examine demographic/socio-economic profiles.

By definition, surveys constitute a two-way communication process that enhances the nature and quality of articulation between the government and the citizens. In other words, citizen surveys are ‘a good in itself and of itself’.

Description

Webster defines a survey as “the action of ascertaining facts regarding conditions or the condition of something to provide exact information especially to persons responsible or interested” and as “a systematic collection and analysis of data on some aspect of an area or group.” A survey, then, is a process and goes much beyond the mere compiling of data. To yield relevant information, the data must be analysed, interpreted and evaluated.

Surveys can be divided into two general categories on the basis of their extensiveness. A complete survey is called a “census.” It involves contacting the entire group you are interested in - the total population or universe. The other
category is more common; it is a sample survey. A sample is a representative part of a whole group (universe). Thus a sample survey involves examining only a portion of the total group in which one is interested, and from it, inferring information about the group as a whole. By sampling only a small portion of a large population, it is possible to collect data in far less time than would be required to survey the entire group. The smaller amount of data gathered by sampling as opposed to surveying an entire population can mean large cost savings. Finally, a carefully selected sample may yield more accurate information than a less careful collection of data from the entire population. On the other hand, there are certain disadvantages of sampling. The main disadvantages stem from risk, lack of representativeness of the sample, and insufficient sample size, each of which can cause errors. Inattention to any of these potential flaws will invalidate the survey results.

Surveys can also be classified by their method of data collection. Mail, telephone interview, and in-person interview surveys are the most common.

The citizen survey process

Step 1. Defining the purpose of the survey

The first step in producing a survey is to define the purpose or objective of the survey. A clear statement of purpose is necessary, not only as a justification of the project, but also as a guideline to determine whether future actions in the project are in support of the original purpose. Knowledge of the exact nature of the problem (objective) would determine exactly what kind of data to collect and what to do with it.

Is it aimed at gauging public opinion? Is it meant for evaluation of service delivery? Is it required for assessing the level of public awareness?

Step 2. Developing the hypotheses

Once the problem has been clearly stated, the next step is to form one or more hypotheses. The hypothesis is actually an educated guess about the answer to the problem. It ought to be based on prior experience related to the problem, or based on any knowledge one may have of previous research done on the topic. It is important, at this stage, to point out that any hypothesis must be supported by credible evidence. Hypotheses should be as specific as possible. Ambiguous words such as most and some should be avoided. A survey can more easily be
designed to test whether “more than 75 percent approve” than whether “most approve.” A well-formulated hypothesis, objective, or research question translates the purpose into a statement that can be investigated scientifically.

**Step 3. Defining the population**

It is important at this stage to identify the population or the target group that one is interested in. This is likely to emerge from the purpose of the survey and the hypotheses formulated. Not only is it important to identify the population but one should endeavor to define the target segment as well as possible. For this purpose, one could choose many different criteria such as geographical (ex: districts, hills, plains, agro climatic zones etc.), demographic (ex: urban/rural, age, sex etc.), socio-economic (ex: APL/BPL, monthly income/expenditure, type of housing, caste/class etc.) or other (such as attitudinal & behavioral characteristics etc.).

**Step 4. Developing the survey plan**

The next step in the survey process is construction of the survey plan. The purpose of the survey plan is to ensure that the survey results will provide sufficient data to provide an answer (solution) to the problem being investigated. The survey plan comprised the Survey methodology to be followed, the plan for collection of the data, the plan for data reduction and reformatting plan and finally, a clear plan for analyzing the data.

**Step 5. Determining the sampling frame and sampling methodology**

When undertaking any survey, it is essential to obtain data from people that are as representative as possible of the group that one is interested in. The basic steps in selecting a sample are given below:

1. Define the population: Who do you want to get information from? Decide the units (say BPL households), the elements (adult members), the extent (benefited from a scheme), and time (in the last one year).
2. Develop a “sampling frame”: Who are the people that make up the group(s) you want to survey?
3. Specify the sampling unit and element: What specific segment(s) will get you the information you need?
4. Specify sampling method: What selection criteria will you use: probability vs. non-probability? Probability sampling means that every segment of the
population will most likely be included in a typical sample. Non-probability sampling is selection based on the researcher’s judgment or convenience.

5. Determining Sample Size: This involves deciding how big the sample should be.

**Step 6. Designing a Questionnaire**

Questionnaires play a central role in the data collection process. The questionnaire is the means for collecting your survey data. A well-designed questionnaire efficiently collects the required data with a minimum number of errors.

Citizen surveys gather information that can be classified into three types. The goal of this classification is only methodological and helps to identify types of scales and questions to use.

(1) **Opinions.** The main elements of an opinion are cognitive structures and the main emphasis is placed on the result of information processing. If emotions are related, they do not play a main role. An opinion can be formulated on the basis of own direct experience or indirect experience.

Examples of questions:
(a) Should solid waste collection be privatised?
(b) Should the tax rates be modified?

Examples of scales to be used with these questions:
Level of agreement: strongly agree – agree – neither agree nor disagree – disagree – strongly disagree

(2) **Attitudes.** Attitudes are defined here as evaluations and in contrast to opinions they include some emotional aspect. The objects of attitudes can be people, institutions, things or abstract notions. The origin of attitudes can be of three types (cognitive, emotional, own experience) or their combination. For example, the origin of attitudes toward the town’s cleanliness could be heard stories about dirty streets (cognitive origin), general dislike for the city (emotional origin) or own experience of seeing how clean it is. An important element of attitude measurement is having more than one question to measure attitudes toward an object.

Examples of questions:
(a) How do you rate cleanliness of the town?
(b) How do you evaluate performance of municipality regarding street maintenance?

Examples of scales to be used with these questions:
Five- and seven-point Likert scales: (a) clean - dirty (b) useful – not useful, fast –slow

(3) **Knowledge.** The main elements of knowledge are cognitive structures and the main emphasis is placed on recalling from memory information that was stored earlier. In contrast to opinions, it matters here what people remember and not what is their position against some issue.

Examples of questions:
(a) How many streets were paved during the last year in your locality?
(c) How often do you visit the block office?

Examples of scales to be used with these questions:
(a) 5-10 11-16 17-23 24-29; (b) once a week – once a month – once a year – less than once a year

**Step 7. Undertaking fieldwork and gathering data**

Key activities at this stage include:

1. Operational planning: Incorporates resource planning in order to align manpower to the survey design and time constraints;
2. Training of investigators: important for investigators, who undertake the work of interviewing respondents, to clearly understand the purpose of the survey and the target respondent;
3. Monitoring and supervision: Mechanisms should be in place to adequately monitor and supervise the fieldwork operations. This has a bearing on both the time and quality of the survey.

**Step 8. Quality control/data reduction**

**Weighting of data:** Before analyzing and interpreting the data, it may be required to ‘weight’ the data. Weighting refers to the construction of a weight variable. The principal purpose of weighting is to obtain as accurate parameter estimates as possible with the chosen sampling and estimation procedures.
The simplest type of surveys may be “self-weighted” in the sense that each unit (household/group) in the survey “represents” the same number of unit in the population. Indeed, most surveys are not self-weighted because they draw disproportionately large samples for some parts of the population that are of particular interest. In this case, weights must be used when presenting all descriptive statistics in order to calculate unbiased estimates of statistics of interest.

**Step 9. Analysis and interpretation of survey data**

Data analysis enables the extraction of useful information from the collected data which leads to informed decision-making. Every piece of the acquired data has intrinsic value. The key is extracting this value.

Broadly, analysis of data could be categorized into two types.

1. **Descriptive data analysis** helps in organizing and summarizing data in a meaningful way. Description is an essential step before undertaking statistical analyses. The goals of descriptive data analysis are to (a) summarize data and (b) get an accurate description of the variables of interest.

2. **Inferential data analysis** allows the researcher to make decisions or inferences by identifying and interpreting patterns in data. Inferential statistics deal with drawing conclusions and, in some cases, making predictions about the properties of a population based on information obtained from a sample. While descriptive statistics provide information about the central tendency, dispersion or skew, inferential statistics allow making broader statements about the relationships between data.

The two major types of inferential statistics are parametric statistics and non-parametric statistics. Parametric Tests assume that the variable measured is normally distributed in the population. The data must represent an interval or ratio scale of measurement. The selection of participants is independent and the variances of the population comparison groups are equal. Non-Parametric tests are less powerful means of data analysis and are used when the data represent a nominal or ordinal scale, when a parametric assumption has been greatly violated, or when the nature of the distribution is not known.
Case Study: 2001 Citizen Survey for the City Of Rijeka, Croatia

The survey was conducted as part of public participation activities component of the Local Government Reform Project that is implemented by the Urban Institute and financed by the USAID. The survey is a general citizen survey that is aimed at providing local governments with basic information about their citizens’ attitudes, opinions, and knowledge about their local governments.

### Satisfaction with life conditions

<table>
<thead>
<tr>
<th>Service</th>
<th>Satisfied</th>
<th>Neither satisfied nor satisfied</th>
<th>Dissatisfied</th>
</tr>
</thead>
<tbody>
<tr>
<td>Availability of stores and services</td>
<td>60%</td>
<td>27%</td>
<td>13%</td>
</tr>
<tr>
<td>Schools</td>
<td>47%</td>
<td>40%</td>
<td>13%</td>
</tr>
<tr>
<td>Housing conditions</td>
<td>41%</td>
<td>34%</td>
<td>25%</td>
</tr>
<tr>
<td>Cultural opportunities</td>
<td>33%</td>
<td>47%</td>
<td>20%</td>
</tr>
<tr>
<td>Public safety</td>
<td>32%</td>
<td>41%</td>
<td>28%</td>
</tr>
<tr>
<td>Public transportation</td>
<td>28%</td>
<td>33%</td>
<td>38%</td>
</tr>
<tr>
<td>Health services</td>
<td>27%</td>
<td>36%</td>
<td>38%</td>
</tr>
<tr>
<td>Air cleanliness</td>
<td>16%</td>
<td>33%</td>
<td>51%</td>
</tr>
<tr>
<td>Sport and recreation facilities</td>
<td>17%</td>
<td>41%</td>
<td>42%</td>
</tr>
<tr>
<td>Social services</td>
<td>13%</td>
<td>46%</td>
<td>41%</td>
</tr>
<tr>
<td>Parking spaces</td>
<td>14%</td>
<td>84%</td>
<td>4%</td>
</tr>
<tr>
<td>Availability of jobs</td>
<td>16%</td>
<td>82%</td>
<td>2%</td>
</tr>
</tbody>
</table>

### Preferences for economic development activities

<table>
<thead>
<tr>
<th>Activity</th>
<th>Needed</th>
<th>Sometimes needed</th>
<th>Not needed</th>
</tr>
</thead>
<tbody>
<tr>
<td>Improving garage and parking spaces</td>
<td>97%</td>
<td>3%</td>
<td>0%</td>
</tr>
<tr>
<td>Adjustment of school programs to IT</td>
<td>95%</td>
<td>5%</td>
<td>0%</td>
</tr>
<tr>
<td>Info-center for citizens</td>
<td>89%</td>
<td>7%</td>
<td>4%</td>
</tr>
<tr>
<td>Business development information center</td>
<td>89%</td>
<td>8%</td>
<td>3%</td>
</tr>
<tr>
<td>Mobility center project (Labor force data base)</td>
<td>86%</td>
<td>10%</td>
<td>4%</td>
</tr>
<tr>
<td>Funds (guarantee, loan) for entrepreneurs</td>
<td>83%</td>
<td>10%</td>
<td>8%</td>
</tr>
<tr>
<td>Construction of passenger terminals</td>
<td>81%</td>
<td>14%</td>
<td>5%</td>
</tr>
<tr>
<td>Improving public transportation</td>
<td>79%</td>
<td>16%</td>
<td>6%</td>
</tr>
<tr>
<td>Promotion of business enterprises by city government</td>
<td>70%</td>
<td>12%</td>
<td>18%</td>
</tr>
<tr>
<td>Other</td>
<td>48%</td>
<td>2%</td>
<td>40%</td>
</tr>
</tbody>
</table>
Citizen Survey by PRAJA

PRAJA a Mumbai based NGO conducted a complaint audit survey in all 24 wards in Mumbai, with a sample size of 2,456 citizens in December 2003. It found that a citizen went 13 times on average to the BMC to get a complaint solved. Only a third of respondents expressed satisfaction with the services. While the BMC maintained that 88% of the complaints were redressed, the citizens said only 49% were. It clearly shows a huge gap between promise and performance. Interestingly, the complaint audit survey showed that the user profile was well divided, with a full third of complainants being slum-dwellers. *Info Change News & Features, February 2005*

Who can carry out the citizen’s surveys?

The survey methodology can be used by the government, civil society organizations or any other independent agencies to communicate the citizen’s feedback to the government on various issues.

The government or the civil society organizations can also outsource the conduct of the survey to professional agencies that are well acquainted with the survey techniques. However in these cases also, it is essential for the agency that is outsourcing, to have a basic level of understanding about the survey technique.

Risks involved and key success factors

The biggest risk is that of an inaccurate or incorrect representation of the actual opinion of the citizen’s, if the survey techniques are not used correctly. Thorough knowledge of survey techniques is required for undertaking citizens’ surveys.

As with any instrument of social and public accountability, citizens’ surveys should be complemented with efforts aimed at ensuring maximum participation from the community and other local stakeholders and steps aimed to institutionalize the practice within the governance process.

References

2. *Citizen Survey Manual, Local Government Reform Project*, The Urban Institute, Victor Wekselberg, 2005
3. *Info Change News & Features*, February 2005
19. Anti-corruption Strategy

Introduction

Corruption is defined as abuse of public office for private gain. The scope for corruption increases when control on the public administrators is fragile and the division of power between the political executive and bureaucracy is ambiguous. It is important to realize that the dividing line between politics and administration is very thin.

There are two quite separate categories of administrative corruption: those where services are provided “according-to-rule” and those where the transactions are “against-the-rule”. In the first case the bribe, called speed-money, takes the form of an unlawful payment for a lawful action while, in the second case, the bribe takes the form of an unlawful payment for an unlawful action.

Corruption is costly. It adversely affects economy, social life and the overall development process. The impact of corruption depends not only on the size of the payoffs, but also on the distortionary effects on the socio economic and political spheres of the country. Table 1 below highlights the ‘costs’ of corruption to the country and some of its adverse consequences.

<table>
<thead>
<tr>
<th>Costs of corruption</th>
<th>Negative outcomes of corruption</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Inefficient public expenditure</td>
<td>1. Quality of life</td>
</tr>
<tr>
<td>2. Unfair private gains</td>
<td>2. Income levels</td>
</tr>
<tr>
<td>3. Distortion of values</td>
<td>3. Corruption works like taxation, but is regressive in its impact, i.e., the poor get poorer</td>
</tr>
<tr>
<td>4. Uncertainties in economic environment</td>
<td>4. Reduced economic growth and trade</td>
</tr>
<tr>
<td>5. Reduced governmental legitimacy</td>
<td>5. Adverse effects on welfare</td>
</tr>
<tr>
<td>6. Inappropriate technology acquisition</td>
<td>6. Poor morale</td>
</tr>
<tr>
<td>7. Labour force inefficiencies</td>
<td></td>
</tr>
<tr>
<td>8. Reduced competition</td>
<td></td>
</tr>
<tr>
<td>9. Money transfers</td>
<td></td>
</tr>
</tbody>
</table>

Corruption produces inefficiency because the need to pay bribes is an entry barrier, and firms that make payoffs may expect not only to win the contract, but also to obtain inefficient subsidies, monopoly benefits, and regulatory laxness in
the future. Corruption introduces other kinds of inefficiencies into government contracting: projects may be too large and too numerous; they may be technically complex; quality may suffer if contractors are allowed to make payoffs to cut corners.

**Purpose of the Tool**

The primary purpose of the tool is to provide a broader strategic framework on the different crosscutting themes that are to be put in place to fight corruption. It attempts at creating a logical flow amongst the different strategic areas for prevention of corruption and improving service delivery options. The focus of the strategy is the cutting-edge level where corruption impacts the actual service delivery. The two basic premises of the strategic framework are: corruption is a result of the failing systems and processes and people have to be a part of the anticorruption measures.

**Description**

The broad strategy outlined below consists of preventive, punitive and citizen empowerment actions. Preventive measures are broadly in the area of administrative reforms, by necessarily getting the ‘systems right’. Punitive measures are those that deal with enforcement of laws. Citizen empowerment and education measures are to improve the availability of information to citizens and to increase the ‘exit’ and ‘voice’ options available.

Enforcement is the toughening up of vigilance, both internal and external. Departments have specific internal processes and the internal vigilance mechanisms have to address this specificity. External vigilance mechanisms deal with independent bodies and structures that oversee the anti-corruption processes. This involves inspectorates, ombudsman, anti-corruption bureaus etc. The objective of enforcement is to increase the probabilities of (a) bringing the culprit to book, (b) securing conviction of the culprit in court and (c) getting a deterrent, as a penalty, awarded against the culprit. All these three probabilities have to be simultaneously increased, since the effectiveness of enforcement is measured by the product of the three probabilities.

Prevention should include minimisation of opportunities for corruption arising in the course of the transactions between the officials and the citizen by bringing about changes to organizations and their processes—their systems, procedures, and structures. It could also include deterrent penalties that would make it costly
for officials to be corrupt, encourage people to speak against corruption by empowering them and making it rewarding to ‘blow the whistle’ on corrupt deals, allowing information access to the citizens etc.

Education of the public (including their empowerment) is intended to raise their awareness levels about the ill effects of corruption, the measures taken to combat it and the role of public in the fight against corruption. At a more disaggregated level, it involves informing the users of a given service about their rights and the means to secure them. It is a tool to empower the citizen by arming them with the information regarding each service, viz., details of how the service is being provided, responsibility for provision of service, mode of delivery of service etc.

The prevention, enforcement and education measures are mutually reinforcing and support each other.

**Administrative Measures for prevention of corruption**

It is possible to distinguish between different groups of factors that give rise to or facilitate corruption (an illustrative list based on studies by the Centre for Good Governance). Broadly these relate to the transactions involving an interface
between officials and citizens, to the processes and systems (including organisations) governing these transactions and, finally, the institutional factors which determine the environmental context in which corrupt exchanges can flourish.

<table>
<thead>
<tr>
<th>Transaction related</th>
<th>Process or organization related</th>
<th>Institutional factors</th>
</tr>
</thead>
<tbody>
<tr>
<td>Transaction intensity and dispersion</td>
<td>Responsibilities unclear with duplication</td>
<td>Level of decentralization</td>
</tr>
<tr>
<td>Level of discretionary power</td>
<td>Workload distribution inequitable</td>
<td>Impartial judiciary</td>
</tr>
<tr>
<td>Degree of monopoly in supply of service</td>
<td>Examination of case at many levels</td>
<td>Level of education, information and awareness</td>
</tr>
<tr>
<td>Possibility of excluding customer</td>
<td>Complexity (opaqueness) of rules</td>
<td>Civil society effectiveness ‘Public office as trust’ internalised or not</td>
</tr>
<tr>
<td>Size of rent relative to victim’s income</td>
<td>Internal control systems ineffective</td>
<td>Patron-client networks</td>
</tr>
<tr>
<td>Control over benefits by official</td>
<td>Probability of being caught X probability of being convicted X probability of being awarded deterrent penalty</td>
<td>Colonial hangover (viewing ‘citizen’ as ‘subject’)</td>
</tr>
<tr>
<td>Availability of information to citizens</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Administrative delay is a generic and major source of corruption. If administrative processes are speeded up, the rationale for ‘speed money’ will disappear. For example, in the case of project clearances for industry, four weeks have been specified as the outer limit for clearances by various departments. The State Investment Board reviews the pendency of applications every month in order to ensure that the clearances are issued within the prescribed time limit. Similarly, in the Secretariat, a file monitoring system is being introduced to facilitate monitoring of the movement of files and tracking of inordinate delays.
Such process-related measures have to be supplemented with structural and organizational changes to those departments that deliver services to the public. These could take the forms of de-concentration, delegation and decentralization, apart from market-based approaches such as privatisation and outsourcing.

At the cutting edge level, for improving administrative efficiency and delay in the service outcomes, the concept of single window clearance has to be developed further. Improving administrative efficiency has to happen along two directions - a comprehensive grievance redressal system wherein there is a continuous monitoring mechanism of the grievances redressed and where there is scope for continuous feedback from the citizens; and the services to be offered to the citizens have to be at a single contact source whereby the interface of the citizen with the official machinery is reduced.

Vigilance and Enforcement

Internal Vigilance

As identified above, the business processes of the individual departments vary as per the ultimate service delivery outcomes. A grandiose vigilance mechanism at this level would not help in developing deterrent systems. At the department’s level, both at the Secretariat and the district levels, officers of known integrity have to be established as vigilance officers reporting directly to the Vigilance Commissioner.

External Vigilance

The institutions which deal with vigilance and anticorruption matters at the state level are:
1. Vigilance Commission;
2. Vigilance and Enforcement Department;
3. Anti-Corruption Bureau;
4. Tribunal for Disciplinary proceedings;
5. Commissionerate of Enquiries.

These structures have to be supplemented with proper role for the independent agencies as such as Lokayukta and Upa-Lokayukta, ombudsman systems etc. The focus of the external vigilance mechanisms is mostly tracking the cases down at the individual level. Along with emphasis at this level, the bodies should focus on immediate grievance redressal to the citizens.
Citizen education and empowerment

Empowering citizens through information is one of the pillars in any anticorruption strategy. Information to the citizens is the key step in the entire process of education and empowerment. People are the stakeholders and trustees of the government and information related to the public needs must be in the public domain.

Who can use the Tool?

The tool is useful for public managers involved in anticorruption management in the State. Anticorruption is a symptom of a failing system and needs a multi-pronged approach. Corruption cannot be considered as a domain of single entity but is a cross-cutting theme with direct impact on governance and public management systems.

### Case Study/Best Practices

Independent Commission against Corruption (ICAC) is the most successful anticorruption agency in the world. The main duties include revision of the practices and procedures of government departments and public bodies which are prone to corrupt practices, advising on developing anticorruption practices, empowering the citizens through effective education programmes and above all mobilizing public support in combating corruption.

The basic constitution of the ICAC involves three departments - Operations Department, Prevention Department and the Community Relations Department. Operations Department carries out the investigations and prosecutions. It is empowered to conduct searches, make arrests and collect evidence. Broadly it is the punitive arm of the agency.

Corruption Prevention Department’s core function is to make recommendations for reducing opportunities for corruption in the government departments and public bodies. It is empowered to be involved at legislative stage and policy development.

Community Relations Department’s core functions include awareness on the consequences of the corruption and mobilisation of public support.

*Source: Successful Anticorruption Strategies around the globe, A Report of the Lok Satta*
Risks involved and key success factors

Corruption results in poor service delivery outcomes to the citizens. However, corrupt systems are beneficial to the corrupt managers. The stumbling block for anticorruption reforms are really these agents who draw undue rents from a corrupt system. Political and administrative support for anti-corruption measures can go a long way in eliminating the scourge of corruption.
20. e-Governance Framework

Introduction

The term e-Governance refers to the process of using information technology for automating both the internal operations of the government and its external interactions with citizens and other businesses. Automation of internal operations reduces their cost and improves their response time while at the same time allowing government processes to be more elaborate in order to increase their effectiveness. Automation of interactions with citizens reduces the overheads for both the government and the citizens, thus, creating value for the economy. e-Governance is not just digital access to government information; it can change the way citizens relate to governments as much as it changes how citizens relate to each other.

During the last few years, the Government of India, as well as various State Governments have taken major initiatives towards the use of Information Technology (IT) for ushering in e-Governance. There are striking examples of e-Governance initiatives in the delivery of basic services including health and education; social services including pension, registration of licenses and certificates; rural services, like the accessing of land records; services in the agricultural sector that include weather forecast and information on market prices; and redressal of public grievances through call centres etc. e-Governance facilitates open and transparent governance, thereby supporting people’s right to know - to know what their governments are doing and how they are doing things. It is therefore, an important tool for citizens to access information.

e-Governance can vastly extend access to education, health-care, markets, financial services, vocational skills and other administrative services at far lower costs. It can dramatically reduce the cost of communications, improve access to technology and marketing capabilities for the rural poor, eliminate intermediary exploitation in the production and distribution chains, increase government accountability, and stimulate democratic participation.

Government of India and several other state governments have introduced electronic means to computerize their activities and take IT to the masses. The Passenger Reservation System of Indian Railways, Citizen Services through e-Seva in Andhra Pradesh, Land Records through Bhoomi in Karnataka are examples of how improved efficiency and reduced transaction time can be achieved through the effective use of IT. Various non-government players –
Non-Governmental Organizations (NGOs), private foundations and corporate houses – have also demonstrated the powerful developmental impact of IT on the lives of ordinary people through experiments in different locations.

**e-Governance framework**

**e-Seva**

e-Seva is an IT enabled citizen-friendly service offered by the Government of Andhra Pradesh to facilitate citizens to access a wide spectrum of services from different departments under a single-roof. e-Seva is a ‘One-stop-shop’ for over 66 G2C and B2C services. e-Seva offers a wide spectrum of services like payment of water, electricity and telephone bills; submission of passport applications, registration of births and deaths, reservation of bus tickets, change of vehicle ownership, submission of passport applications etc. under a single roof thus saving the citizens the bother of running around various departments.

**Bhoomi**

The Department of Revenue in Karnataka has computerized 20 million records of land ownership of 6.7 million farmers in the State. Previously, farmers had to seek out the Village Accountant to get a copy of Record of Rights, Tenancy and Crops (RTC) – a document needed for many tasks such as obtaining bank loans. There were delays and harassment. Today, for a nominal fee, a printed copy of the RTC can be obtained online at computerized land record kiosks (Bhoomi centres) in 177 Taluk offices all over the state.

The Government of India has approved the National e-Governance Action Plan for implementation during the year 2003-2007. The Plan seeks to lay the foundation and provide the impetus for long-term growth of e-Governance within the country. The plan seeks to create the right governance and institutional mechanisms, set up core infrastructure, formulate policies and implement a number of Mission Mode Projects at the centre, state and integrated service levels to create a citizen-centric and business-centric environment for governance. The Ministry of Information Technology, Government of India has designed a framework for e-Governance. The framework includes Back-ends (databases of the different government agencies, service providers, state governments etc.), Middleware and the Front-end delivery channels (home PCs, mobile phones, kiosks, integrated citizen service centres etc.) for citizens and
businesses. The Middleware comprises communication and security infrastructure, gateways and integrated services facilitating integration of inter-departmental services. A schematic diagram of the e-Governance framework is shown in Figure 1.

Figure 1

[Diagram of the e-Governance framework]

Source: www.mit.gov.in

Twenty Six (26) mission mode projects have been identified to be taken up at the National and State level. Work has already been initiated on the DCA21 and eBiz projects. DCA21 project offers a host of services to companies such as registration, filing of statutory documents and enables the department of Company Affairs to monitor proactive and effective compliance of relevant laws and corporate governance. eBiz is also a significant initiative that seeks to establish a comprehensive and integrated system to cater to all the requirements of businesses for G2B services through their life cycle. The essence of eBiz is the creation of a business-friendly environment through a service-oriented approach to the needs of investors, industries and businesses. Plans are afoot to take up all
the mission mode projects in a phased manner. A schematic diagram indicating the mission mode projects is shown in Figure 2.

![Schematic Diagram](source: www.mit.gov.in)

**Figure 2**

**Shortcomings and key success factors**

Despite several e-Governance initiatives being taken up at the national and state level, progress on e-Governance till date has been slow and not linked to Government reinvention. Rather, most IT applications have focused on improving the efficiency of existing operations or providing one-way information dissemination, instead of fundamentally changing the way businesses and citizens interact with Government. It is observed that many e-Governance projects are individual initiatives and there is no evidence of a
holistic approach before the sanction/grounding of a project or during the period of its execution.

It is also found that e-Governance projects are initiated by automating the existing processes which only breeds further inefficiency. Process reengineering has to be attempted by eliminating unnecessary steps and optimizing the process at the back-end before a service is delivered. This can enable us to arrive at different configurations of the component processes and facilitate better service delivery.

e-Governance applications are being developed without proper ‘Data Standard Definitions’ which will hamper interoperability with other applications. The adoption of data standards for use across the Government can enable easier, more efficient exchanging and processing of data. It can also remove ambiguities and inconsistencies in the use of data. It is easier and cheaper to use these standards at the outset rather than making changes during the life of the systems which is not only costly but also time-consuming.

One of the major reasons for the failure of e-Governance projects is the excessive emphasis on procurement of hardware and setting up expensive networks even before the software is developed. The software application is the heart of any e-Governance project. It’s design, development, testing and deployment consumes 60% of the project life cycle. Very often, the hardware is already a generation old by the time the software is ready for deployment, necessitating an upgradation of the hardware even before the project is launched.

The key to a successful e-Governance project is to go for the “Plan Big, Start Small, Scale Fast” approach. A pilot project before planning out a large-scale roll-out gives scope for thorough debugging of the application software, obtaining feedback from the actual users, thus resulting in the development of an innovative product.

In the ultimate analysis, it has to be realized that the benefits of e-Governance are to be delivered by the employees – be it at a front end counter or at the back-end offices of Government departments. The role of employees is, thus, critical for the success of any e-Governance project. The employees of the government departments need to be involved during the design and development of content that meets the project objectives and is user-friendly. A strong sense of involvement has to be created among employees at various key levels in the departments.
Change of mindset and capacity-building are the other key factors for the successful implementation of an e-Governance project. The fear of the unknown and the perception of a threat to survival and of loss of power or relevance should be removed. Training programmes, workshops and field visits to similar projects implemented elsewhere are some of the techniques that can be used for capacity-building. Employee involvement, change management and capacity building would result in their ownership of the project and thereby enable sustainability of the project.

References
1. *e-Government for Developing Countries: Opportunities and Challenges* by Valentina (Dardha) Ndou.