

प्रमोद कुमार तिवारी
PRAMOD KUMAR TIWARI

संयुक्त सचिव
JOINT SECRETARY



भारत सरकार,
कार्मिक, लोक शिकायत तथा पेंशन मंत्रालय,
प्रशासनिक सुधार और लोक शिकायत विभाग,
सरदार पटेल भवन, संसद मार्ग,
नई दिल्ली-110001

GOVERNMENT OF INDIA,
MINISTRY OF PERSONNEL, PUBLIC GRIEVANCES & PENSIONS,
DEPARTMENT OF ADMINISTRATIVE REFORMS
& PUBLIC GRIEVANCES,
SARDAR PATEL BHAVAN, SANASD MARG,
NEW DELHI-110001

Dated: 03 June, 2013

DO No. K-11022/69/2013-AR

Dear Shri Singh,

The Department of Administrative Reforms and Public Grievances, in its endeavor to promote and support improvements in public administration affecting the poor had developed the 'State Collaboration Initiative Programme'. This programme is designed to supplement the evolving governance and fiscal reforms agenda and the state level initiative to promote and achieve reforms at the cutting edge of point of delivery.

2. The Department intends to collaborate with the State Governments for developing and funding initiatives in consonance with the programme objectives. For facilitating this effort a set of guidelines have been developed outlining how the States can identify and propose initiatives under this programme. A copy of the guidelines is enclosed.

3. It is proposed that State Department of Administrative Reforms or equivalent may be made the nodal agency to coordinate the proposal under this programme to be sent to this Department.

4. I request you to kindly send proposals from your State by 15th July, 2013 positively. For any further clarification/information in this regard, Ms. Ritika Bhatia, Director (Tel: 011-23360369, ritika.bhatia@nic.in) may be contacted.

With regards,

Yours sincerely,

Pramod
(Pramod Kumar Tiwari)

Shri Rakesh Singh
Chief Secretary,
Government of Punjab,
Chandigarh 160017
Punjab

scf(m) of the Director
GPM-(SA) msp
Discuss urgent
24.06.2013



सूचना का
अधिकार

Handwritten notes and stamps on the left margin:
- "cf" and "6" at the top left.
- "327537-402-R" and "20/6/13" written vertically.
- "DGR" and "H. S. HT" written vertically.
- "20/6/13" written vertically.
- "2" written vertically.
- "24.06.2013" written vertically.
- "GPM-(SA)" written vertically.
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- "Discuss urgent" written vertically.
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- "2" written vertically.
- "20/6/13" written vertically.
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**Guidelines for State Governments for
proposing initiatives under the State
Collaboration Initiative**

**Government of India
Ministry of Personnel, PG and Pensions
Department of Administrative Reforms and
Public Grievances**

July 2011

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1. Introduction

The State Collaboration initiative was to promote and achieve reforms at the cutting edge or point of delivery. Under the state collaboration initiative the strategy is to build collaboration with state governments for improving public service delivery.

This guideline outlines how States in collaboration with DARPG identify and roll out initiatives under the State Collaboration

2. Objective

It is largely accepted that effective, efficient, and equitable delivery of basic services to the poor is a strong and positive correlate of poverty reduction. It is therefore reasonable to assume that competent and effective public service delivery systems, which fall under the realm of public administration, are of critical importance for working towards poverty reduction. Consequently, it is worthwhile to build the capacity of public administration organisations and systems for impacting the poverty reduction effort of the country.

Specifically the objective of the State Collaboration initiative is to promote and support improvements in public administration for improving service delivery, leading to poverty reduction through a programmatic approach which will:

- i. Develop collaborative relationships with central ministries, states and other stakeholders
- ii. develop a coherent programme of initiatives which will support and encourage administrative reform and put citizen at centre stage, particularly the poor
- iii. build capacity at district, state and centre to ensure optimal use of systems and resources

3. Program Design Framework

The definition of capacity for purposes of this program is the ability of individuals, organizations, and the institutions (at the central, state and local level) to provide services for the poor. The process of strengthening and

sustaining such capacity is capacity building. Operationalisation of the intent of the program is done by taking up strategic initiatives at the institutional, organizational and individual levels which seek to:

- i. Enhance the control/influence of the citizen / client over the service - Creating Pressure
- ii. Strengthen the organizations and processes related to service delivery- Strengthening the Service Delivery Entity
- iii. Incentivise and reinforce appropriate behavior—incentivising desirable behavior

4. Tool for designing new initiatives

The intervention matrix indicated below is a tool for developing newer initiatives. This matrix incorporates the design framework of the program, and any initiative under the program must find a place in one of the cells in the matrix. Sample of initiatives in each cell of the matrix below is provided as an illustration.

Fig 1: The Intervention Matrix

Objective	Create Pressure	Incentivise Desirable Behaviour	Strengthen the entity
Capacity building Institutional	State of Governance Report Institute an appraisal system (transparent and performance based) Right to Information	Institutionalize Civil Service Award	Governance Knowledge Centre
Organisational	State of Service Delivery Report	Rewards for best service providing entity/organization Best practice recognition/ National Excellence award	Convergence Service Delivery Strengthening Specific Departments
Individual	State of Service Delivery Report Assessment under a Performance Appraisal Mechanism	Civil Service Awards	Training for Service Delivery

Note: the interventions which have already been initiated under the program are in Bold

5. Guiding Principles for design of any initiative

- i. Should demonstrate how the initiative will contribute to enhancing the capacity of the Public Administration institutions, organisations or personnel to operate in a way that will bring tangible benefits to the poor and other marginalized groups.
- ii. Initiative should be suitably placed in one of the cells of the intervention matrix as discussed in section 4
- iii. Proposed initiative could either be
 - a. The development of replicable models from some of the innovations in pro-poor public delivery systems or service delivery models which need to be systematically developed from practice into replicable models.Or
 - b. Piloting a new idea, concept, structure or system at the state level that would enhance the quality of service delivery to the poor but requires technical assistance in the form of knowledge inputs not available with the host organisation/department/ministry.
- iv. Interventions should be developed in consultation with internal (DARPG) and external stakeholders, and implemented in collaboration with them.
- v. MoP will be responsible for evaluating the impact of each initiative (which is rolled out) as well as dissemination of the lessons learnt.

6. Preparation of the Proposal

Any proposal sent for consideration under the State Collaboration initiative should consist of the following:

- i. Information as per Proforma given in Annexure I
- ii. A time bound implementation plan should be prepared for each initiative, with clearly identifiable outcomes and clearly specified inputs.
- iii. Each proposal should specify implementation and reporting arrangements (to DARPG) and provide evidence of the project implementation capacity. The monitoring arrangements would be governed by section 9 of these guidelines. It is highly recommended that the proposal should indicate the monitoring indicators.

- iv. The budgets indicated in the proposals for support under the State Collaboration initiative should be in line with the project requirements with realistic cost estimates and contain the approval of the Financial Advisor or equivalent of the State.

7. Assessment

The proposals received under the scheme will be initially assessed in the Department for completeness of the proposal as per the Guidelines and shall thereafter be submitted to the competent authorities for approval. Presentations by the States, in case needed, shall be organized in the Department.

8. Project Implementation

8.1 Funding Mechanism

After approval of the proposal by Secretary (AR&PG) and concurrence of IFD to the proposal, the funds would be transferred to the implementing agency in terms of the phase wise implementation schedule and progress made thereof.

8.2 Procurement

i. All procurement must conform to the GFR 2005.

ii. The last installment of 20% will be released only after approval of DARPG on the basis of the satisfactory progress as per the approved implementation schedule.

8.3 Ownership and Copyright

DARPG would retain the ownership and copyright of all the documents and deliverables pertaining to the approved initiatives.

9. Project Monitoring

a. The host department will submit periodic monitoring reports as specified by DARPG from time to time.

b. The State initiatives would be monitored through the Quarterly Program Monitoring Meeting held under the chairmanship of Secretary (ARPG).

**PROFORMA FOR SUBMISSION OF PROPOSALS FOR UNDERTAKING
INITIATIVES IN COLLABORATION WITH DARPG**

1. Details of origin of the Proposal	
a.	Name of the State : _____
b.	Name of the host organization: _____
c.	Status of the Host Organization: <u>Main Ministry/ Department/Attached office/ Statutory Body/Other - please specify</u>
d.	Name of Contact person: _____
e.	Contact Address: _____
f.	Telephone/Fax: _____
g.	Nodal Contact Person: _____
h.	Implementing Agency: _____
g.	Account No. of the Nodal Agency to which the funds are to be transferred: _____
2. Proposal	
2.a	<p>Proposal Summary</p> <p>The proposal summary to appear at the beginning of the proposal and outline the project. It should be brief: no longer than two or three paragraphs. To include all the key points necessary to communicate the objectives of the project.</p>
2.b	<p>Introduction of the Host Organization</p> <p>This may include:</p> <ol style="list-style-type: none"> i. The organizations' key area of operations and the clientele ii. The service delivery mandate it has iii. The type of Central Programs it handles iv. Any multilateral/bilateral projects it is handling at present <p>It would be useful if the logic for the organisation undertaking the particular initiative is provided.</p>

2.c	Problem Statement	<p>This is elucidation of the specific problem that is proposed to be solved or issue to be addressed through an initiative and the expected outcomes.</p> <p>The problem statement is a key element of the proposal. It should be a clear, concise, well-supported statement of the problem to be solved by undertaking the proposed initiative through support from the CBPR Programme. The information provided should be both factual and directly related to the problem addressed by the proposal. The problem statement should clearly spell out the connection between the issue pertinent to the problem statement and the proposed host organization.</p>
2.d	Project Objective	<ul style="list-style-type: none"> i. The project objectives should clearly spell out what the initiative seeks to achieve. ii. The expected results and benefits of each objective should be clearly defined. iii. Should the guiding principles as specified in the guidelines and , describe how the proposal meets each criterion(ref. Section 5.i.5.ii,5.iii)
2.e	Project Scope, approach and methodology	<p>To describe in detail the activities that will take place in order to achieve desired results. Justification be given as to why the set of activities been chosen and why the chosen approach and methodology are appropriate for fulfilling the objectives of the project. Timetable of the major milestones should be included.</p>
2.f	Project Implementation Capacities	<p>The critical implementation capacities for rolling out the initiative should be identified along with the evidence of availability of the said capacities within</p>

		the department /ministries responsible for implementation. If there are implementation capacities gap at present, the proposal should clearly indicate how the same are proposed to be bridged so as not to hamper the implementation during roll out.
2.g	Project Monitoring	To elaborate on how project success to be determined and provide monitoring indicators for reviewing the project progress.
2.h	Proposal Budget	Estimated costs (with phasing) under suitable heads should be indicated.