

CGG Collected Working Papers: 2003 Volume 1

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About CGG

The Centre for Good Governance (CGG) was established by the Government of Andhra Pradesh (GoAP) in October 2001, to help it achieve its goal of transforming government in accordance with Vision 2020. CGG coordinates and supports the designing and implementation of GoAP's Governance Reform Programme and undertakes action research, provides professional advice to, and conducts change management programmes for government departments and agencies to help them implement their reform agenda successfully. The Centre works closely with policy makers like ministers, officials, experts and other stakeholders, especially citizens, to promote Simple, Moral, Accountable, Responsive and Transparent (SMART) government.

CGG aims to be a world-class institution to guide governance reforms in Andhra Pradesh, other states in India, and the developing world by bringing together knowledge, technology and people.

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Andhra Pradesh: Improving Governance through Performance Management

— Dr P. K. Mohanty

Abstract

This article describes the approach of the Government of Andhra Pradesh to improve governance by using a performance management system. Performance indicators have been adopted for more than 200 Departments, which are monitored monthly, quarterly, and annually by the Chief Minister and at the levels of Ministers and Secretaries to Government. The indicators are drilled down to the lowest jurisdictions and also functionaries, who are assigned monthly and cumulative grades based on measurement of performance with respect to set targets. Andhra Pradesh intends to use performance measurement as a tool to drive the state towards achieving its Vision 2020 goals.

Key Words: Performance Management, P-Track, Online Performance Tracking System, Governance.

Andhra Pradesh Vision 2020

Andhra Pradesh is the first state in the country to prepare Vision 2020. This vision aims at making Andhra Pradesh the foremost state in the country in terms of growth, equity and quality of life and presents a dream that

“Andhra Pradesh should be a state where poverty is totally eradicated; where every man, woman and child in the state has access to not just the basic minimum needs but to all the opportunities to lead a happy and fulfilling life; and a knowledge and learning society built on values of hard work, honesty, discipline and a collective sense of purpose”.

Vision 2020: Swarna Andhra Pradesh

The Mission of Andhra Pradesh includes an agenda for every citizen of the state as follows:

- Eradicate poverty and take care of the old, infirm and genuinely needy;
- Enable people to learn, earn and lead healthful and productive lives;
- Promote small families for a healthy and wealthy society;
- Give children a happy childhood and every opportunity to achieve their full potential;
- Empower and support women and girls to fulfill their roles as equal partners with men;
- Create resources the people need, such as capital and infrastructure, to transform their own future;
- Enable farmers, entrepreneurs and professionals to make agriculture flourish and build thriving industries and services business;
- Embrace innovation and the latest know-how to grow crops, produce goods and provide high quality services;

- Safeguard environment and make cities and villages clean, green and safe to live in;
- Make government simple, transparent, accountable and responsive;
- Ensure that people continue to have strong voice and role in governance.

Approach to Economic Growth

Vision 2020 examines the potential, resources and constraints of the state as well as the opportunities thrown open by the liberalisation and globalisation processes and the information revolution. It identifies select growth engines to leverage the strengths and advantages in various sectors and regions of the state. Drawing upon the best practices within and outside the country, the document outlines the profile of development of the state in the first two decades of the 21st century. It calls for a strategy of leapfrogging growth with equity and sustainable improvements in the living standards of all sections of the people.

Andhra Pradesh has identified engines of economic growth based on an evaluation of potentials of sectors to build on accumulated strength, to make significant impact on Gross State Domestic Product, and to exploit opportunities created by global trends. These engines are as follows:

Sector	Growth Engines
Agriculture	Rice, Dairy, Poultry, Horticulture, Fisheries and Agro-industry;
Industry	Infrastructure, Construction, Garments, Leather Products and Other Export-oriented Industries, Mining, Pharmaceuticals and Small scale Industries;
Services	Information Technology, Knowledge-based Services, Tourism, Logistics, Small-scale Services, Healthcare and Education.

While the growth engines will be developed mainly by private sector investment, it is envisioned that the state will quickly transform its role from that of controller of the economy to a facilitator and promoter of economic growth. The agenda for growth-oriented governance includes: (a) providing specialised infrastructure; (b) deregulating or creating regulation that fosters investment and facilitates business; (c) accelerating the development of skills; and (d) conducting focused and effective promotion to market the opportunities the state offers to investors.

Transforming Government

Vision 2020 defines a new role for the Government of Andhra Pradesh so as to be able to meet the aspirations of its people and articulate their dreams. This role includes: (1) refocusing government priorities and shifting spending from unproductive areas towards achieving high priority developmental goals; (2) decentralising governance and making it participatory with the involvement of the people; (3) introducing ‘electronic government,’ i.e., using IT-based services to de-mystify government processes and procedures and improving citizen-government interface; (4) becoming a SMART (Simple, Moral, Accountable, Responsive and Transparent) Government by improving transparency and accountability at all levels and ensuring effective and responsive services to the people; (5) building the administration’s capabilities, strengthening policy-making and improving performance; and (6) taking a lead role in persuading the Central Government and initiating regulatory and other reforms.

The Government of Andhra Pradesh has established the Centre for Good Governance to act as a think tank on governance reforms and a bank of best practices and tools in good governance within and outside the country and to support the implementation of reform process in the state through a well-defined governance reform programme. The Centre has initiated many projects to assist the government departments in pursuing reforms, in including a performance tracking and measurement systems.

Janmabhoomi Philosophy

Empirical evidence suggests that a participatory, responsive and responsible government will be in a position to provide leadership and seek support from the people and the private sector in promoting the economic development goals. Recognising this, Andhra Pradesh has adopted a people-centered approach to development under its Janmabhoomi programme. Under this approach:

- People are to identify their felt needs;
- People must share the cost of community works through material or labour or cash or a combination of any of them;
- People are to execute community works through self-help groups;
- People are to review and audit their own expenditures;
- People are to own community assets created and manage their own institutions.

The Janmabhoomi philosophy has percolated to the grassroots level and has become an integral part of the socio-economic development strategy of the state.

Focus on Improving Governance

Governance involves mechanisms, processes and institutions, through which people articulate their interests, exercise their legal rights, meet their obligations and mediate their differences. The characteristics of good governance include: rule of law, participation, transparency, responsiveness, consensus orientation, equity and inclusiveness, economy, efficiency and effectiveness, and accountability. People are the sources of all power in a democracy and accountability to the people is the hallmark of democratic governance. The fundamental law of good governance is that to each unit of power given by the people to the government, there must be a commensurate accountability of part of the government to the people. To promote accountability to the people, the state government has decided that all the departments and districts must implement citizen's charters and a performance management system. Andhra Pradesh is in the process of having charters and service standards for all the services rendered by government departments at all levels. Charters have percolated to district and panchayat levels. They are based on the following principles of people-centered governance:

1. People should be cared for, treated with courtesy and consideration.
2. People should be consulted regarding service levels and quality.
3. People must be made aware of what to expect in terms of level, quality and timeliness of services.
4. People should have equal access to services to which they are entitled.
5. People must receive full and accurate information about their services.
6. People should be informed about government departments' operations, budget and management structures.

7. People are entitled to an apology, explanation and remedial action if the promised standard of service is not delivered and Public services should be provided economically and efficiently.

The state is working on to establish a networked system of Call Centres to systemically monitor the implementation of citizen’s charters with reference to set service standards and keep track of timely and quality disposal of citizen complaints.

Performance Management System

The Government of Andhra Pradesh has been focusing on performance management as a key instrument for improving the delivery of services and infrastructure to the people. Performance management is a strategic approach, which equips leaders, managers, workers and stakeholders at different levels with a set of tools and techniques to regularly plan, continuously monitor, periodically measure and review performance of organisations, territorial jurisdictions and functionaries in terms of indicators and targets for economy, efficiency, effectiveness and impact. The performance management system model adopted by the state is depicted in Figure 1.

Figure 1
Performance Management Model



The performance management system links development goals, policies, priorities, plans, programmes, projects, budgets, action plans and performance towards achieving the desired objectives. The system involves performance indicators, performance monitoring, performance measurement, performance-based evaluation, performance-based review and evidence-based policy-making. Performance monitoring is a continuous process of collecting and analysing data to compare how well a project, programme or policy is being implemented with reference to expected results. It is an ongoing process to assess whether targets are met and broader development objectives

are achieved. Performance measurement refers to analysis and measurement of results in terms of performance indicators and targets. Performance-based evaluation is an assessment, as systematic and objective as possible, of a planned, ongoing, or completed intervention. The aim of evaluation is to determine the relevance of objectives, economy (minimising cost of obtaining resources), efficiency (using resources efficiently), effectiveness (achieving the desired socio-economic impacts), and sustainability so as to incorporate lessons learnt into the decision-making process. Performance-based review involves periodic review to identify broad trends and assess the likelihood of outcomes being achieved – whether the programmes or projects are “on track”. It aims at effecting correction mechanisms to ensure that programmes or projects do not deviate from the central goals and objectives for which they were created.

The strategic objectives behind performance management are:

- To create a performance culture and ethos across public service in terms of “shared” values, “outcome” orientation and “best” practices
- To promote accountability of employees and organisations in using resources and ensuring that implementation objectives are met
- To empower citizens to generate pressure for change and transformation
- To guide capacity building development for better governance
- To contribute to overall development agenda

The performance management cycle involves policy-making, planning and budgeting leading to programme implementation followed by assessment and feedback and then going to the policy-making.

Performance Tracking

The performance management, monitoring and evaluation experiment undertaken by Andhra Pradesh is based on a performance tracking system which envisages the participation of all stakeholders at all stages, starting from and ultimately feeding into the planning and performance budgeting processes. The entire process begins with the identification of the input-output-outcome linkages. The most important and challenging tasks are the selection of performance indicators, setting measurable targets and monitoring and evaluating performance by the use of composite criteria. The state government has classified government departments into 8 groups depending on the predominant role the government will need to discharge as per Vision 2020. These groups are:

Table 1
Andhra Pradesh: Group-wise Classification of Departments

Group	Group Description	Role of Government
Group I	Economic Development (Primary Sector)	Facilitator of economic growth
Group II	Economic Development (Secondary & Tertiary Sector)	Facilitator of economic growth
Group III	Human Development	Promoter of human development
Group IV	Welfare	Directly undertaking services for the socially backward and needy

Group V	Local and Urban Bodies	Decentralisation and strengthening of local government to enable them to discharge civic obligations
Group VI	Infrastructure Development	Building economic & social infrastructure
Group VII	Revenue Generation	Mobilisation of resources for development
Group VIII	Governance	Provider of general administration, and regulatory services, maintenance of land records and maintenance of law and order

Performance Indicators

Performance indicators are measurable factors of extreme importance to any organisation in achieving its strategic goals, objectives, vision and values. These indicators are required to be designed carefully so as to:

- Indicate the progress made towards the goal;
- Provide a common framework for gathering data for measurement and reporting;
- Capture complex concepts in simple terms;
- Enable review of goals, objectives and policies;
- Focus the organisation on strategic areas;
- Provide feedback to organisation and staff.

Ideally the selection of performance indicators should be based on the criteria of CREAM:

- Clear:** Precise and unambiguous
Relevant: Appropriate to the set goal
Economic: Available or computable with reasonable cost
Adequate: Provides sufficient basis to assess performance
Measurable: Quantifiable

Performance-related indicators can be classified into (1) input indicators: measures of economy (related to unit cost) and efficiency (related to resource use: time, money or number of people); (2) output indicators: measures of effectiveness (related to programme activities and processes); and (3) outcome indicators: measures of quality (related to set standards) as well as impact (related to achievement of overall objectives) that allow us to check whether our development strategies and policies are working. Indicators can be simple or composite. A composite indicator is a set of different indicators rolled into one index by developing a mathematical relationship between them, e.g., human development index, which takes into account three basic elements: life expectancy, educational attainment (adult literacy combined with primary, secondary and tertiary enrolment) and real gross domestic product per capita. Often baseline indicators are computed to represent status quo or current situation with reference to which performance is measured.

Through a process of rigorous exercise for about three years, which involved the time of the Chief Minister of Andhra Pradesh himself for more than 300 hours, different departments in the Government have been able to map their inputs, outputs and outcomes and arrive at a set of performance indicators divided into core, functional and departmental indicators. The total number of indicators currently adopted by various

heads of departments and public sector undertakings in Andhra Pradesh (numbering more than 200) are as follows:

Table 2
Andhra Pradesh: Group-wise Number of Indicators

Group	Group Description	Number of Indicators
Group I	Economic Development (Primary Sector)	93
Group II	Economic Development (Secondary & Tertiary Sectors)	115
Group III	Human Development	176
Group IV	Welfare	126
Group V	Local and Urban Bodies	113
Group VI	Infrastructure Development	211
Group VII	Revenue Generation	55
Group VIII	Governance	91
Total		980

Performance Indicators: Some Examples

Examples of performance indicators adopted by some departments in the Government of Andhra Pradesh are as follows:

Table 3
Andhra Pradesh: Examples of Performance Indicators Rated among the Best

Department	Performance Indicators
Horticulture	<ol style="list-style-type: none"> 1. Area Expansion under Horticultural Crops 2. Area Expansion under Floriculture 3. Area Expansion under Hybrid Vegetables 4. Area Expansion under High Intensity Cropping 5. Area Expansion under Micro Irrigation
Andhra Pradesh Transmission Corporation Limited (APTRANSCO)	<ol style="list-style-type: none"> 1. Energy Loss Reduction (%) 2. Energy Drawl 3. Energy Metered Sales 4. Revenue Collection
Industry	<ol style="list-style-type: none"> 1. Establishment of New Industrial Units 2. Investment Growth 3. Employment Generation 4. Grounding of Prime Minister's Rozgar Yojana Schemes 5. Gross Industry Value Added
Land Administration	<ol style="list-style-type: none"> 1. Collection of Water Tax 2. Collection of Non-Agricultural Assessment 3. Assignment of Government Lands for Agriculture 4. Distribution of Pattadar Passbooks 5. Distribution of Title Deeds 6. Distribution of Surplus Land 7. Issue of Computerised Certificates

Process Indicators

Process indicators are measures which indicate the processes adopted to make an organisation run its activities. As regards the Government of Andhra Pradesh, the process indicators adopted include the following:

Table 4
Andhra Pradesh: Process Indicators

Group	Process Indicators (Per Month)
Tours, Inspections and Reviews	Days toured, Office inspections undertaken, Surprise inspections undertaken, Routine inspections undertaken
File Disposal	File disposal – Disposal of files of Public Importance, Court matters, Service matters, Other Files
Action on Important Matters	Disposal of action taken in Vigilance cases, ACB cases Commission of enquiry cases, Departmental enquiry cases, Audit reports/paras, Chief Minister’s announcements, Chief Minister’s Office references, Adverse media reports.

Fixing Measurable Targets

Performance target equals the baseline indicator level plus the desired level of improvement. To set meaningful targets, departments are required to identify their short-term and long-term objectives and align them with the Vision 2020 goals. This involves a collective effort by the policy makers as well as implementation teams in terms of resource planning and prioritising government programmes, schemes and services. Targets are fixed based on discussions and bottom-up feedbacks at various levels of hierarchy beginning at the secretariat and drilling down to the district, mandal and village levels.

The Andhra Pradesh Government has adopted the ‘SMART’ criteria for setting targets:

- S:** Specific
- M:** Measurable
- A:** Attainable
- R:** Realistic
- T:** Time-bound

For each function, each functionary and each territorial jurisdiction, annual, quarterly and monthly physical and financial targets are set. The departments have been directed by the Government to study the levels of indicators for five best states and benchmark with the best.

Monitoring Performance

Performance monitoring mechanism involves the monitoring of implementation of programmes and projects as well as monitoring of results. Implementation monitoring involves three stages – input, activity and output. Performance monitoring focuses on the outcomes and their impact. A sound monitoring mechanism

- Needs ownership, management, maintenance and credibility;
- Assesses performance needs at the project, programme and policy levels;
- Enables movement of performance information both horizontally and vertically in the organization;

- Identifies demand for performance information at each level;
- Has clarity in responsibilities at each level: who, what, when, how, to whom, etc. in data collection, measurement, reporting, etc.

The Government of Andhra Pradesh undertakes both implementation as well as results monitoring every month. The three broad monitoring parameters that are adopted include:

Economy:	minimising cost of securing inputs
Efficiency:	using resources efficiently
Effectiveness:	achieving the desired social impacts

Measuring Performance

The Government has adopted the 4-F model for tracking and measuring performance: function, functionary, finance and field. Performance achievements are reported by every department every month to the Planning Department which is assisted by the Centre for Good Governance for critical analysis and evaluation. Information is collected in seven formats designed by the Centre for Good Governance. These enable monthly and cumulative tracking of performance and process indicators. Measurement of performance is done deploying the Hexagon Model. This model tracks

- Where a department or functionary is in a month compared to earlier months – starting from April;
- To what extent a functionary has achieved his annual target;
- How does he compare with the achievement for the corresponding period of last year;
- How far he is from the Vision 2020 or forward target;
- How far he is from the benchmark, fixed, if any; and
- How does he compare with his colleagues of the same level or designation.

Grading of Performance

All departments, jurisdictions and functionaries are graded every month according to the percentage of cumulative target achieved. The criteria for grading adopted by the Government based on the suggestion of the Centre for Good Governance are as follows:

Non-revenue earning departments

% of target achieved	Grade (score)
≥ 100%	A (4 points)
90-100%	B (3 points)
75-90%	C (2 points)
< 75%	D (1 point)

Revenue earning departments

% of target achieved	Grade (score)
≥ 100%	A (4 points)
95-100%	B (3 points)
90-95%	C (2 points)
< 90%	D (1 point)

Performance Reviews

A thorough review of performance of all departments, public sector undertakings and institutions is held by the Chief Minister and Ministers every month, leading to tracking of progress and recommendations for performance improvement. Reports on action taken for performance improvement (ATPI) by the respective departments /functionaries are reviewed in such meetings. Every quarter conferences of Heads of Departments and Collectors of districts are held at Hyderabad, which are attended by the Chief Minister, all Ministers, all Secretaries and the print and electronic media. These open meetings act as pressure mechanisms to drive performance at various levels. The Government is contemplating a system of performance-based incentives and disincentives.

Performance Management: Implementation Architecture and Support System

To develop a common framework for measuring and tracking the performance of government departments and functionaries, the Centre for Good Governance (CGG) designed 7-Formats in May 2002 for reporting performance information. These 7-formats seek to gather information on performance indicators: department-wise, field-wise and functionary-wise; process indicators; and expenditure statement.

The initial process, which was followed till December 2002, involved submitting a hard copy of the monthly performance reports as per the formats designed by CGG. The information received from the Departments was then fed manually into the computer and MS-Excel spreadsheet package used to generate various performance reports. This manual system of reporting took several days to process and involved immense calculations before a report was prepared. In this system there was a chance of losing data while maintaining huge stacks of files built as a result of paper-based work. Besides, the process involved inconsistency in reporting of data, no validation checks while submitting the performance data, inconsistency in calculations, no transparency, etc. The lack of a centralized data system left very little scope for generating various kinds of performance reports required for an effective review.

Online Performance Tracking System: “P-Track”

In parallel work began on automating the entire system. An online performance tracking system, called “P-Track” has been developed by CGG that provides an effective tool for performance management and also addresses the problems encountered in the manual system.

“P-Track” is a unique computer package designed to measure, track and grade performance and generate a number of reports for review purposes. It assesses the performance of functionaries and departments on the basis of pre-determined targets. The tool is being extended from departments at the state-level to districts and mandal levels. It is a generic package applicable to both government and private sector. CGG has initiated the process of patenting the product, which is based on months of brainstorming and hard work.

Objectives of “P-Track”

- Bring transparency and improve accountability in the government;
- Assess the impact of government programs and projects;
- Systematically evaluate departments, functionaries, institutions, and programs; and
- Support objective assessment for incentives and disincentives.

Features

“P-Track” is a comprehensive, user-friendly, automated management information system, which is designed to send performance information from the respective lower level functionaries to the immediate superiors of the department through the web. Target fixing and resource allocation is carried out in the system by the top-down process, wherein targets and resources are distributed step by step from the highest to the lowest level. The data sent by departments is maintained in a centralized database that can be tracked and monitored from a focal position. The present “P-Track” is in its fourth version.

Current features of “P-Track” are:

- Individual Login accounts for 38 Ministers, 42 Secretaries, and 214 Heads of Departments;
- Provision to specify organization structure, addition/updating of functionaries, institutions, departments and indicators;
- Provision for setting target distribution: field-wise and functionary-wise;
- Automated information flow, computation of grades, ranks, and generation of a variety of reports for effective and informed decision making;
- Performance Measurement and Grading at various levels – Minister, Secretary, Heads of Departments at State and District levels.

On a periodic basis (monthly as it is now) performance- and process-related data is sent by Ministers, Secretaries, and state-level HoDs through “P-Track”.

Minister’s Login:

- Number of Ministers who have been given individual logins accounts: 38



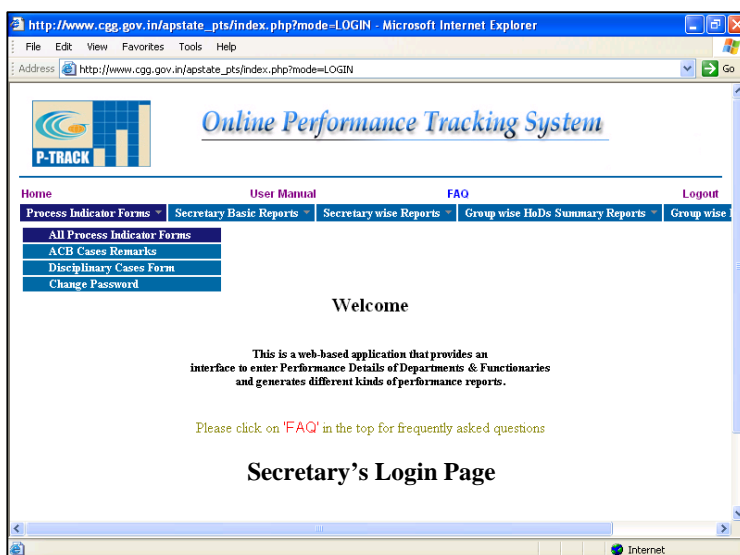
- Number of input forms prescribed for Ministers is ten. This captures information relating to
 - Report Submission Dates;
 - File Disposal;
 - Tours, Inspections and Visits;
 - Departmental Attendance;
 - Departmental Review Meetings and Training/ HRD;
 - District Review Meetings;
 - Media Relations;
 - Other programmes (meetings with focus groups, public forums/meetings addressed);
 - Best Practices and Innovations;
 - Matters of Special Importance brought to the notice of the Chief Minister.

Reports available in Minister's login:

- Minister-wise Reports (All Ministers' Reports, Minister-wise Secretaries' Report, Minister-wise HoDs' Report);
- Secretary-wise Reports (All Secretaries' Reports, Secretary Vs. All Secretaries' Reports, Secretary-wise HoDs' Reports);
- Group-wise HoDs' Reports; and
- District-wise Performance Reports.

Secretary's Login:

- Number of Secretaries who have been given individual login accounts: 42



- Number of input forms prescribed for Secretaries is four. This captures information relating to
 - File Disposal;
 - Tours and Inspections;
 - Review Meetings; and
 - Action in Important Matters.

Reports available in Secretary's login:

- Secretary-wise Reports (All Secretaries' Reports, Secretary Vs. All Secretaries' Reports, Secretary-wise HoDs' Reports);
- Group-wise HoDs' Reports; and
- District-wise Performance Reports.

HoD's Login:

- Number of HoDs who have been given individual login accounts: 213



- Number of input forms prescribed for HoDs is nine. This captures information relating to
 - Department's State-level Annual and Month's Targets by Performance Indicator;
 - District's Annual and Month's Targets by Performance Indicator;
 - Department's State-level Month's Achievement by Performance Indicator;
 - District's Month Achievement by Performance Indicator;
 - File Disposal;
 - Action in Important Matters;
 - Review Meetings;
 - Tours and Inspections; and
 - Expenditure Statement.

Reports available in HoD's login:

- Group-wise HoDs' Reports; and
- District-wise Performance Reports.

“P-Track” also provides the provision for addition/updating of input forms as per requirements.

Types of Reports

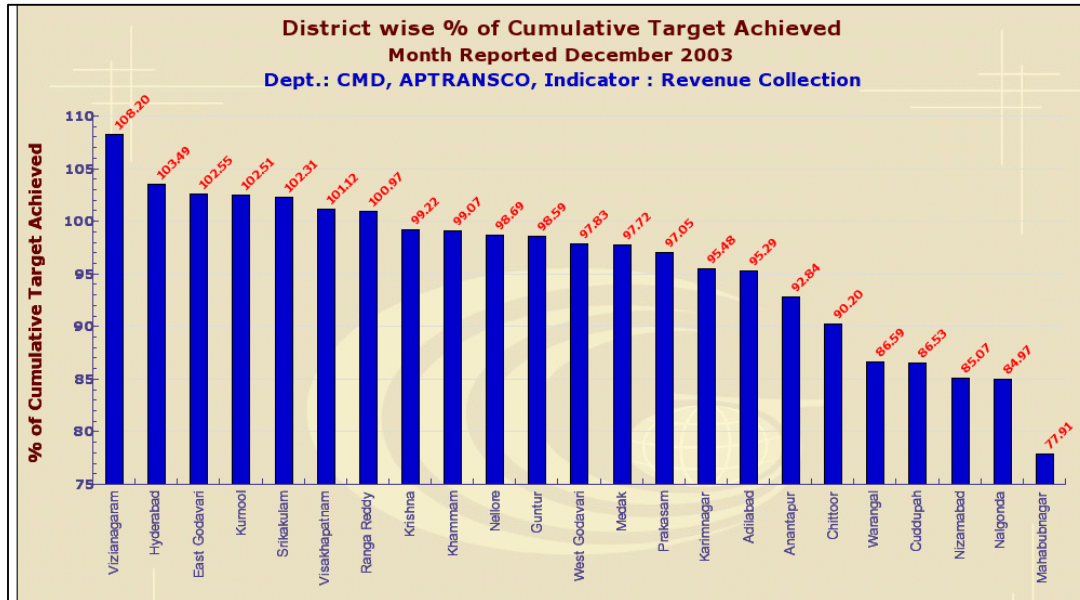
A host of reports are generated for purposes of performance evaluation, review and feedback. A few of them include reports on:

- State-level Performance Indicators reports: The figure below provides this report for AP Transmission Corporation (Energy Sector) for the month of December 2003;

Report on Department Performance
Department Name : Chairman & Managing Director, AP Transmission Corporation (APTRANSCO)
Report for the Month of 'December 2003'

S.No	Indicator Name	Units	Annual Target	Monthly Target	Monthly Achievement	% of Monthly Target Achieved	Monthly Grade	Cumulative Target	Cumulative Achievement	% of Cumulative Target Achieved	Cumulative Grade
1	Revenue Collection	Rs. Crores	8563.44	702.80	650.85	92.61	C	6256.41	6087.10	97.29	B
2	Energy Loss	%	18.97	18.24	18.86	103.40	B	18.24	18.86	103.40	B
3	Energy Drawal	Million Units	41286.43	3506.34	3526.52	100.58	B	30662.5	30648.65	99.95	A
4	Energy Sales	Million Units	33455.58	1837.30	1750.78	95.29	B	21786.3	21510.12	98.73	B
5	Demand raised with respect to adjusted target	Rs. Crores	8858.37	774.75	702.80	90.71	B	6642.68	6250.86	94.10	B
6	Distribution Transformer failures with respect to target	Numbers	-	1941	2543	131.01	D	24082	31161	129.40	D

- District-wise Performance Indicators reports: The figure below provides the district-wise graph based on percent of cumulative target achieved for the performance indicator Revenue Collection for AP Transmission Corporation for the month of December 2003;



- Process indicators reports: Reviews, Tours and Inspections, File Disposal, and Action in Important Matters. The figure below provides File Disposal Report for Commissioner, Industries and Commerce for the month of December 2003.

File Disposal Report																		
Department Name : Commissioner, Industries & Commerce																		
Report for the Month of 'December 2003'																		
Sl.No	Indicator Name	Pending At Beginning of Month			Added During Month			Total			Disposed			Balance At End Of Month			Disposal Percentage	Accretion(+)/ Decretion(-)
		A	B	C	A	B	C	A	B	C	A	B	C	A	B	C	%	
1	Public Importance Cases	166	4	0	271	0	0	437	4	0	271	1	0	166	3	0	61.68	.1
2	Court Cases	25	2	3	11	0	0	36	2	3	2	0	0	34	2	3	4.88	9
3	Service Matters	65	6	16	187	0	0	252	6	16	181	0	0	71	6	16	66.06	6
4	Other Files	184	48	31	645	0	0	829	48	31	652	0	0	177	48	31	71.81	.7
Total		440	60	50	1114	0	0	1554	60	50	1106	1	0	448	59	50		7
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

Category A: Pending for less than 3 months
 Category B: Pending between 3 months to 1 year
 Category C: Pending for more than 1 year

Total files pending during the month = 1664

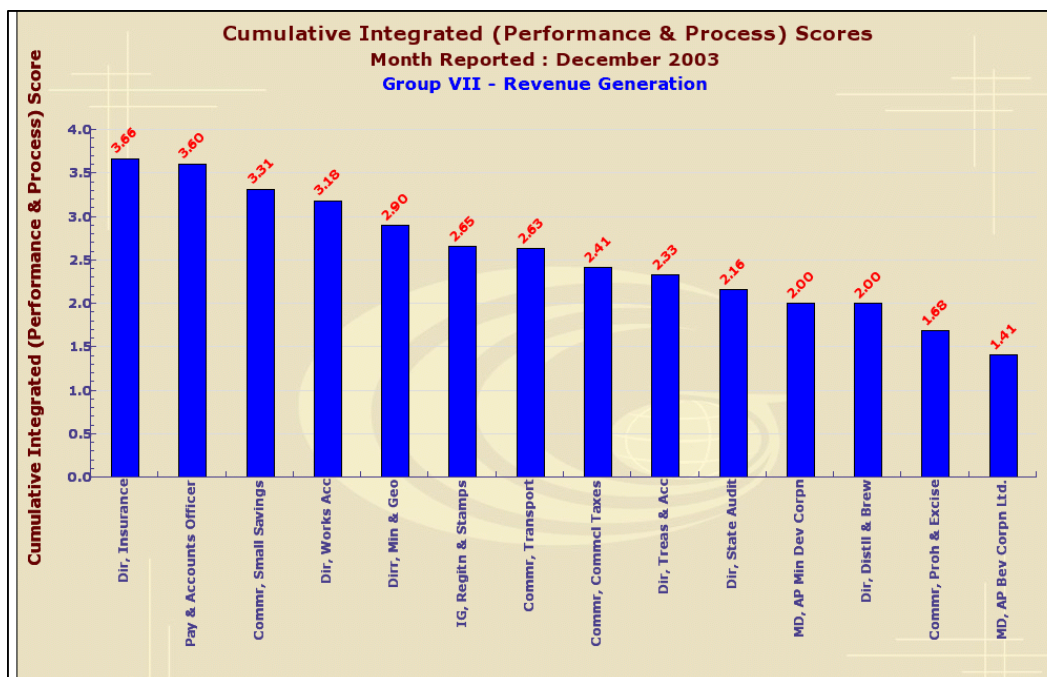
Total files Disposed during the month = 1107

Disposal Percentage = 66%

- Report on financial achievements: The figure below presents the expenditure statement for Commissioner and Director, School Education, for the month of December 2003.

Expenditure Report											
Department Name : Commissioner & Director, School Education											
Report for the Month of 'December 2003' (Rs.Lakhs)											
Sl. No	Expenditure Type	Budget 2003			Funds Available			Cumulative Expenditure by the end of Month			
		Establishment	Development (Non-Establishment)	Total	Spillover funds (from past years)	Released	Total Funds	Establishment	Development	Total	Cumulative Expenditure as % of funds available (10/6x100)
		1	2	3	4	5	6	7	8	9	
1	PLAN	3256.53	36459.53	39716.06	0	21121.21	21121.21	13591.12	615.42	14206.54	67.26
2	NON-PLAN	269671.19	9299.19	278970.4	0	202458.55	202458.55	158379.95	316.23	158696.2	78.38

- Integrated, performance and process scores and grades reports: The graph in the next page gives the ranking of Group VII (Revenue Generation) departments based on Cumulative Integrated (Performance and Process) Scores during April-December 2003. These reports aid in making a competitive assessment of departments, functionaries and territories and also help in identifying Best to Worst Achievers.
- “P-Track” also provides Hexagon Model Reports as discussed earlier.



Advantages and Utility of P-Track

“P-Track” facilitates effective management of data, ushers transparency in governance, brings about responsiveness among functionaries, assists in rapid retrieval of data, and most importantly, it is simple to use. Some of its advantages are:

- Periodical summary reports aiding Ministers, Secretaries to Government, Heads of Departments and District Collectors in their periodic Review Meetings;
- Precise information to manage resources efficiently and effectively;
- Assessment of ‘where we are’, ‘how we are progressing’, and ‘what to do’ in order to progress in a desired direction at a desired pace;
- Linked employee objectives and functions to overall department’s objectives, thereby creating a sense of contribution for the employee;
- Enhanced communication by ensuring clear understanding of department expectations about results;
- Increased individual department’s ability to identify or "red-flag" problems early;
- Facilitates performance feedback on an objective basis;
- Provides a centralised record of performance of each department/functionary.

Features on the anvil

- Presently the system is functioning at the state-level. Further drilling down to the district and mandal levels is in progress;
- Provision for setting target models by indicator, by functionaries, by department and by field;
- Linkages with external assessment – Media Perception, Peoples’ Feedback, etc.;
- Links to ‘Best Practices.’

District Performance Tracking

A District Performance Tracking project has also been facilitated by the Centre for Good Governance for Ranga Reddy district by applying the “P-Track” to practically all aspects of district functioning. It aims to use e-governance as a strategy for good

governance at the district level, information technology as a tool for improving performance and transparency as the hallmark of people-centered administration. The district performance tracking system includes the following features: Login accounts for all the field level functionaries in the district, automatic provision of all forms and reports with due permissions, authorisation and rules in effect, provision to set the organisation structure, facility to enter information on employees, institutions, functionaries and department indicators, etc. The organisational structure can be generated at the district, division, mandal and village levels. The system can generate among others, the following reports:

1. Department-wise cumulative achievement and grading reports;
2. Department-wise integrated grading comparison report (best and worst achievers);
3. Department-wise indicators cumulative report;
4. Department-wise performance grading of functionaries report (A-B-C-D analysis);
5. Department-wise monthly performance variation report;
6. Department-wise quarterly performance report;
7. Department-wise monthly status on pendency of files;
8. Department-wise file disposal report (A-B-C-D analysis);
9. Department-wise reviews, tours and inspections report (A-B-C-D analysis);
10. Department-wise action in important matters (A-B-C-D analysis), etc.

The district performance tracking system aims to further enhance its reach through grading of functionaries and jurisdictions to the last mile, grading of all institutions and self-help groups (SHGs) and developing a time series database on the performance of all employees.

Performance Feedback

A performance feedback mechanism is like exchanging ‘GIFTS’:

- G:** Goes both ways – a two-way exchange between the appraiser and the appraisee
- I:** Initiative by the person implementing programmes or making policies, who sees the need for gathering feedback
- F:** Frequent
- T:** Timely
- S:** Specific – feedback based mainly on observed behaviour, facts and inferences and not on subjective parameters

The Government of Andhra Pradesh has established a system of managing governance through feedback from multiple channels collected at different intervals. These include:

People:	Monthly survey by an independent agency
Target Groups:	Evaluation through planning/concerned departments
Programme Evaluation:	By the Planning and other departments
Services:	“Report Card” studies by independent agencies
Employees:	Feedback during training programmes
Focus Groups:	Special studies or interviews

Conclusion

Developing a sound performance management system involves the careful designing of several aspects. These include, establishing profile: vision and mission, clarifying and delegating responsibilities, creating internal institutional mechanisms, preparing departments and organisations, facilitating system development, supporting implementation, preparing for management of “change”, developing framework for innovation and accountability, assessing current reality, identifying stakeholders and creating structures for stakeholders’ participation, developing performance monitoring and evaluation system, including performance indicators-baselines-targets-data collection-data analysis-reporting-publishing and adopting the system, implementing the system: gathering data, monitoring, measuring, reviewing, evaluating, reviewing and improving performance, etc. The process involves many challenges.

Countries have taken decades to establish a sound performance management system. The Andhra Pradesh experiment is only three years old. It is expected that the system will be perfected in a year or so. To measure is to know. There is no alternative to performance measurement if one is serious about improving performance – whether in private sector or in government. The Government of Andhra Pradesh considers the performance management system as a tool for improving performance. It is focusing on how to use this tool effectively. The virtue of simplicity – “Keep It Simple” – is kept foremost in mind by the policy-makers. Future directions include the improvement of indicators, measurement and grading, and linking quantitative measurements to qualitative assessments. All efforts are to usher in an era of good governance in consonance with Vision 2020 goal of *Swarna* Andhra Pradesh.

Changing Mindsets in Government Organisations

—Dr S. Ramnarayan

A stakeholder was having an interesting conversation with a middle level officer in a department of the government. The officer had talked about a decision process that was under way, which pertained to his area of work. After mentioning about the cumbersome journey of the decision through the corridors of bureaucracy, he joked about the endless meetings with indifferent participants and the unwieldy procedures with little concern for timeliness. He concluded that the final decision was certainly expected to end up wasting a lot of resources, but not achieve the intended purpose. After listening to the graphic account, the stakeholder asked the officer as to why he could not influence the process and ensure that the right decision was made. The question seemed to surprise the officer at the operating level. He pointed out that the decision was made by the government, and not by him. But the stakeholder persisted, “But you are the government in this case. After all, the matter pertains to your area of work”. The officer felt a bit irritated by the comment. He perceived the stakeholder as having too simplistic a view of the situation. He said, “You don’t understand. I just move files. The governmental system makes the decision. And it specialises in wasting resources and frustrating people. *And I cannot help it*”.

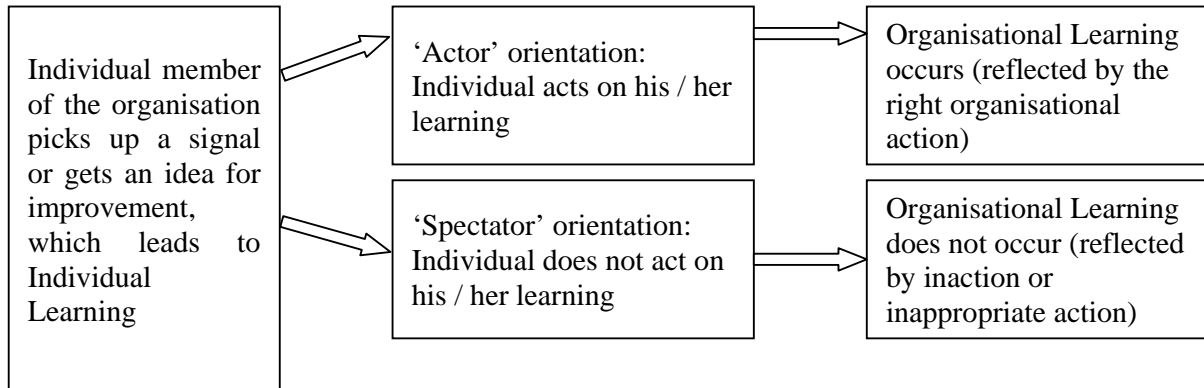
‘Spectator’ and ‘Actor’ Mindsets

In the above illustration, the middle level officer had clearly assumed the stance of a ‘spectator’ rather than that of an ‘actor’ in the system. With a spectator orientation, he could see what was happening; he could comment on it; but there was no way he felt capable of exercising positive influence to move the decision in the right direction. The implicit assumption was that he was quite powerless in the situation.

How does such a mindset influence the functioning of a government agency? Let us say that an officer at the operating level in a government department has received instructions relating to the introduction of a scheme. With several years of experience behind him, he is aware of ground realities. He may quickly realise that the scheme has some lacunae, which would defeat its intended purpose. But the ‘spectator’ mindset leads to certain implicit choices. The middle level officer does not share this feedback with higher levels. Instead, he passes on the papers down the line in a routine way for action. As a result, his knowledge and insight do not diffuse to the larger system, and the scheme is taken up for action, and predictably gets mired in difficulties.

In other words, even when the members of the system are aware that the decision or approach is destined to fail, the organisation itself continues to function as if it does not know of the potential minefields that are bound to cripple the decision. Thus when the employees assume the stance of ‘spectator’ rather than ‘actor’ in the system, there is little hope for the concerned agency to learn through anticipatory and proactive actions. Instead, the agency runs into hurdles that could have been easily anticipated and avoided, and in the process the customers, citizens or other stakeholders are made to suffer setbacks and crises needlessly.

Figure 1: How Actor or Spectator mindset affects translation of Individual Learning to Organisational Learning



From the brief illustration, we would also be able to notice an important facet of organisational learning. As can be seen from Figure 1, an organisation can learn and adapt its actions only if the organisational member, who picks up the signal, acts on the signal. We can say that in this case, the concerned employee is the individual learning agent through whom the organisation learns. The individual learning agents need not necessarily be organisational members at the operating level; they could even be customers/citizens receiving the service, or any other person or group that has a potentially valuable input for the decision making.

But our brief illustration demonstrates that such individual learning or insight does not automatically lead to organisational learning. When organisational members behave like spectators, their information, ideas, and insights do not flow to the decision making levels. When channels connecting the different parts of the organisation are choked, valuable views and perspectives are lost to the decision makers. As a result, decisions are made with partial perspectives and insufficient understanding, and government departments appear to function in an unthinking manner. Unfortunately that only serves to reinforce the spectator mindset.

In this paper, we focus on the behavioural dynamics of government officers at the operating levels. We examine a number of questions. Why do the officers at the operating levels tend to follow the path of least resistance? What factors reinforce the 'play safe' attitude? What factors prevent officers at middle levels from functioning as responsible members and sorting out issues in the agency's best interests? When decision-making processes are characterised by impersonal file and paper movements, poor judgments, inordinate delays, and apparent paradoxes, how do they affect the employee perceptions about the organisation? Our purpose is to understand the factors that lead employees at the cutting edge of the government departments to either feel energised to perform and excel, or feel deflated, powerless, and incapable of taking charge.

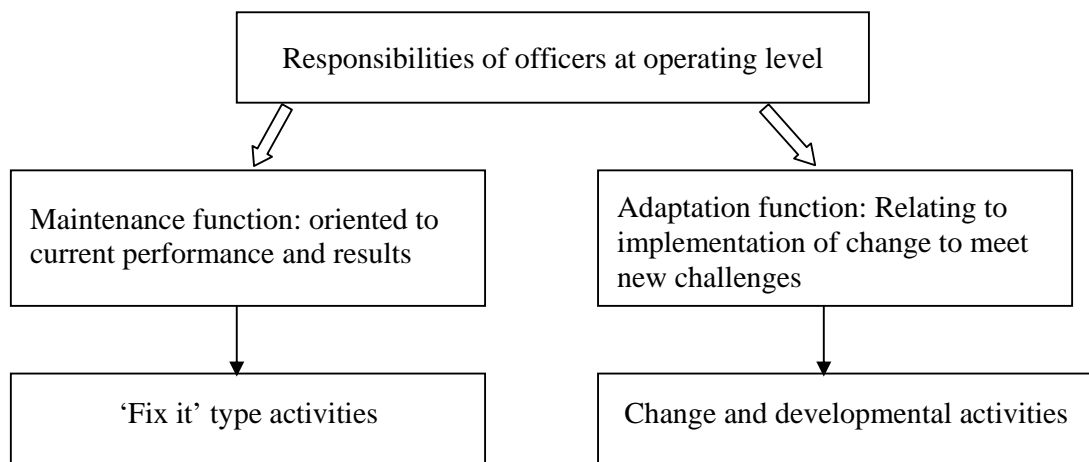
Officers at Operating Levels

In developing countries like India, government departments typically tend to be large hierarchies with multiple layers of management. As mentioned earlier, we would focus on operating level officers in this paper. For our purpose, we define this category of employees as including all those with supervisory/ managerial responsibility, but function below the level of the head of department with an overall responsibility for a function or department.

Operating level officers are expected to play a crucial role in ensuring that departmental activities are well-coordinated, that employees act responsively and responsibly, and that the agency continuously generates appropriate alternatives to grapple with its problems. Further, it is at this operating level that the government's policies and strategies get translated into decisions and actions. However, it is evident that the nature of behavioural dynamics at this level has remained largely unexplored and appropriate strategies for effective utilisation of this critical resource have not been examined. While the literature has focused a great deal on leadership roles and styles, there is a theoretical void about the nature of roles of officers at operating levels, and aspects of their functioning. Even in the world of practice, the preoccupation is largely with senior level as it is seen as being concerned with the important work of planning a strategy. The middle levels tend to be ignored as not very consequential because operating managers have to merely execute what has been visualised at the top. Unfortunately, when there is little attention to the nuts and bolts issues of execution, grand plans fail to bridge the chasm between the worlds of paper and practice.

Writings on managerial work suggest that at the operating levels work is more focused, more short-term in outlook, and the characteristics of brevity and fragmentation are more pronounced. According to some management scholars, three aspects characterise managerial work: demands, constraints, and choices. It is reasonable to assume that, at the operating level, managerial roles will be relatively low on choice and high on demands and constraints compared to higher levels.

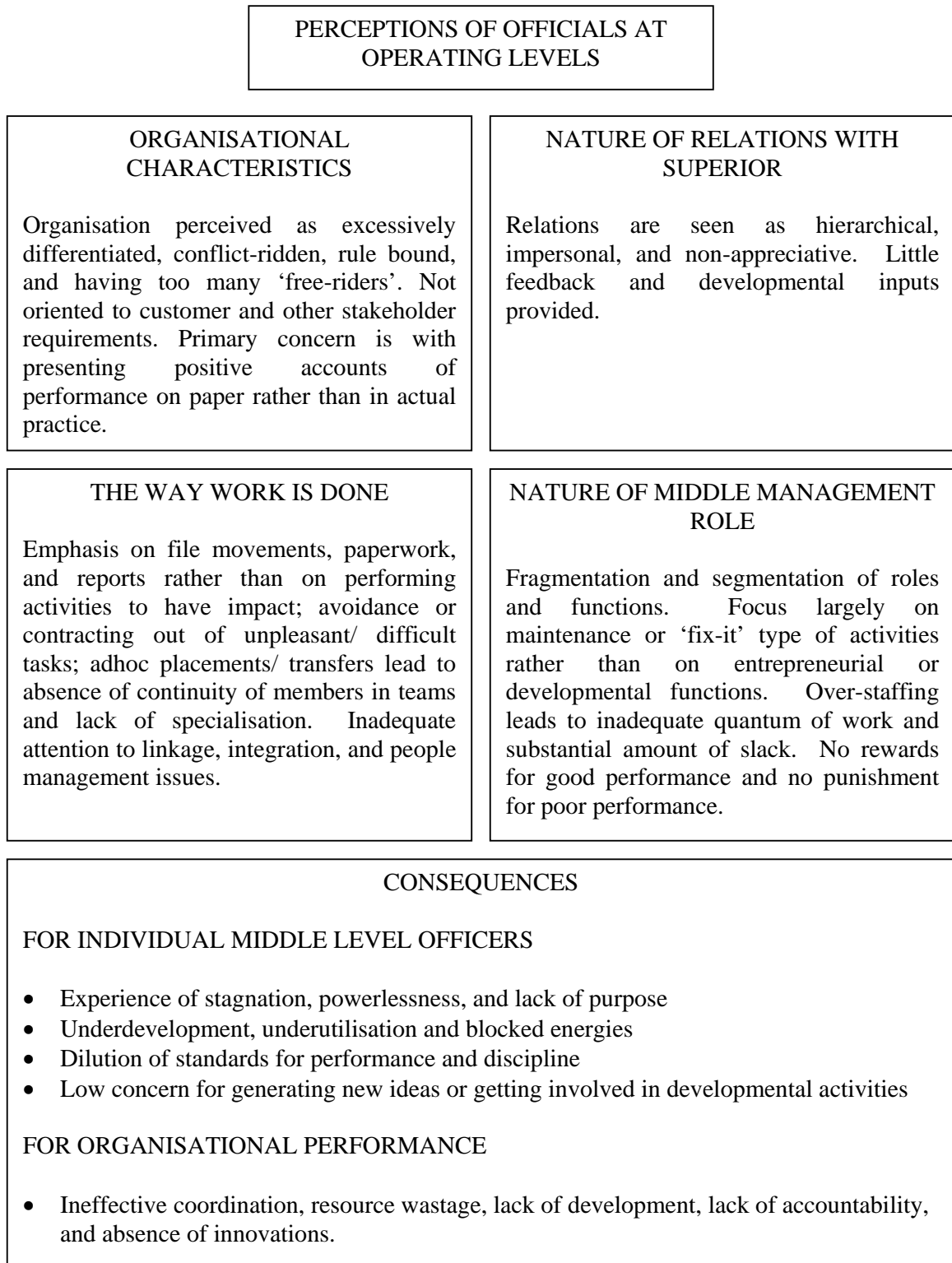
Figure 2: Two broad functions of officers at middle levels



As presented in Figure 2, we may consider a simple framework in which middle level officers are seen to accomplish two essential organisational functions—a maintenance function oriented to ensuring current performance and results and an adaptation function which includes activities intended to promote innovation, and growth, and aspects relating to the implementation of new ideas to deal with new challenges. Earlier studies have shown that operating management work consists largely of ‘fix-it’ type of activities—trying to deal with systems and processes that are not working and managing breakdowns in normal routine flow of work. Officers at the operating levels were found to be involved only to a very limited extent with the adaptation function.

This paper attempts to develop an in-depth understanding of how middle level officers in government bureaucracies perceive the world around them and how these perceptions affect their functioning. The paper is based on observations of day-to-day behaviour of operating level officers in their work context, and discussions with them as to why they do what they do. We know that most action is mediated by cognitive frames and mental models, and employees make sense of their environment through these cognitive frames. This paper explores the mindsets and implicit choices underlying the behaviour of middle level officers to gain insight into factors which mobilise or block their energies.

Figure 3: Issues and Concerns of Officials at Middle Levels



Perceptions at middle levels and Consequences: Framework

We have organised our observations in the form of a simple framework presented in Figure 3. As our purpose is to explore cognitive frames and mindsets of middle level government officers, we present their view or their perceptions with regard to the nature of relations with superiors, characteristics of the organisation, the way work is done (or not done), and nature of their role at operating levels. The consequences of these perceptions for individual and organisational performance are also discussed. As would be quite evident from the framework, consequences of the middle level world view would further reinforce their perceptions of the reality, and so mindsets would tend to get stabilised over a period of time. That is the reason why a change in mindset is an up-hill struggle, and demands energetic, conscious and concerted efforts.

In the following sections, we discuss each aspect of the framework in some detail. The concluding section would discuss what the organisation needs to do to create an enabling work environment, where employees feel like ‘actors’ capable of making meaningful contributions rather than like helpless ‘spectators’.

Perceptions of the Larger Organisation

Our observations indicate that in the world view of middle level officers, there are numerous anomalies, paradoxes, and contradictions in organisational decision-making. These have been briefly examined below.

Multiple power groups pulling in different directions: The organisational functioning is sought to be influenced by multiple interest groups both within and outside the organisational boundaries, each pursuing its own agenda even if that agenda is at variance from the overall organisational goals and interests. Each interest group possesses a certain amount of influence, and so can derail change or at least create some roadblocks for effective implementation. So the design tends to be excessively differentiated, and inadequately integrated. This presents a huge challenge in developing and implementing a common programme of action.

As a result of multiple power groups, there are constant pressures to make exceptions to rules, policies and procedures. A few decision-makers yield to the pressures and deviate from the policy itself or from established practice. So after a certain point of time, it becomes difficult to figure out what the frameworks are. As exceptions get made without clear communication of the justification, others may say ‘if that person can get it, why not me?’ As a result, individuals persist with their demands even if they seem unjustified or irrational.

Resource scarcity: Another common complaint pertains to scarcity of resources and meaningless procedures. For example, while the head of the department may be talking of e-governance, the officer at the operating level may be confronting the problem of having no budget allocation for settling the electricity bill and so facing disconnection of power supply. In a resource-scarce environment, members are also dependent on the department for a number of things including personal benefits such as loans and access to valuable opportunities. This dependence creates additional complexities in the relationship between the officer and the department.

Poor concern for performance: The general view at the middle levels is that the organisation has low concern for performance. The work is seen to have been completed when a circular or office order is released. In many cases, there is little or no follow-up to check if the desired impact has been achieved. There are also no consequences for performance or non-performance. There is a great deal of job security, and few rewards for excellent performance and hardly any disincentives for poor performance. In such an atmosphere, people work only because they want to work. The demands from the system are minimal.

Free-riders: As a result of the above factors, many free riders exist in the system. For example, it was found that several quotas exist for a posting in the capital city in a state government department – individuals with sports background (so that they can pursue their sports interests), individuals with major illnesses (so that they have access to hospitalisation facilities), individuals who have lost their spouse (so that they have access to family support system), and so on. Interestingly there is also a quota for meritorious candidates, and that is just 10 per cent of the overall strength. In the perception of officers at operating levels, the quota system was used even for staffing key positions. For members of such an organisation, the system sends a powerful signal that merit and performance concerns are not high on the priority list, and expectations from individual organisational members are quite low.

Vicious cycle of ineffective implementation: Discussions at middle levels indicate that the dominant view of the officers in this category is that they have little information, low control, and high constraints. They perceive the departmental structures and processes as incapable of accommodating their views and ideas. As a result, they see their roles as marginal, and feel that they have little knowledge or information about why certain decisions are made or not made. Not surprisingly, they experience low stakes in them. With many members perceiving low stakes, the system tends to be lethargic. There is little assurance that things would work as they are expected to. Any individual interested in performance or service is required to chase all the time to obtain that performance or service.

Finally, poor implementation leads to a feeling that the organisation does not really care. Decisions are announced when they are no longer relevant. With centralised decision making based on obsolete records, actions can be totally off the mark. In such a scenario, the options available to people are to resign their post in the department, attempt to influence the decision making, or do nothing. In the perception of officers, resignation involves too high personal costs, and is not really an option for them. The burdens associated with attempting to influence departmental decision-making are so high that there are no real incentives to exercise that influence. Unfortunately that leads to the inevitable assumption that they can do very little in the given context. Not surprisingly, there is a tendency for people to become passive and indifferent. We can see how this mindset is likely to be subject to self-reinforcing cycles. When individuals cling to their perception that no initiatives were really expected of them outside a narrowly defined area, they also cease to examine more effective ways of coping with the situation.

Relationship with Superior

A key question is whether superior-subordinate relations create a context in which operating managers experience a sense of self-efficacy. It is generally agreed that the

individual's sense of personal power is closely related to feelings of personal efficacy and a sense of self-worth. It has been found that factors like feelings of mastery related to the job, the superior's exemplary behaviour, and the superior's encouragement and emotional support are significant sources of self-efficacy information. How do operating managers rate the quality of relationships in their organisation?

Impersonal relationship: Our observations suggest that the relations with the superior are governed by hierarchy. There is little team work or serious work-related consultation or discussion. The communication within the system is also perceived as ineffective. There are hardly any rewards for performance. Significant changes in work assignments, transfers or promotions are decided at very senior levels. This effectively renders an officer's immediate superior redundant for decisions relating to rewards decisions. In fact, officers perceive the same superiors as competing with them for departmental favours. Few officers consider their superior as someone that they can look up to as a person and/ or as a professional.

Absence of standard setting and encouragement: Therefore, there are hardly any instances of superiors exhibiting the following aspects of an enabling style:

1. Having and communicating standards of excellence.
2. Spotting opportunities for changes/innovations.
3. Holding regular discussions on important departmental or organisational priorities.
4. Taking a genuine interest in developing people.
5. Leveling with others and getting out of hierarchical barriers.
6. Building trusting relationships and facilitating team orientation.

Nature of Operating Management Roles

Narrowly defined roles: The work at operating levels is perceived as largely routine, fragmented, segmented, and repetitive. Typically a government department has a plethora of sections and sub-sections. These divisions on functional lines give rise to several distinct groups of employees. It is widely believed that boundaries harden around these groups, as a large number of individuals at the lower levels practically spend their entire career in a single group. As a result, there is little collaboration across sections, regions or departments.

Not only work is highly segmented across different functions, it is also fragmented across the various levels of departmental hierarchy. With a large number of levels and functions, individuals also end up with 'non-roles', where there is precious little to do. Each function and level tends to have its own viewpoint, and the integration of these different viewpoints becomes quite difficult.

Moreover, in a tall hierarchy, personnel at the operating levels are primarily concerned with the execution of routine tasks. Most of the time, the roles are restricted to requesting for and chasing support from service functions, or approvals and clearances from higher levels, or cooperation from junior levels. It is widely

perceived that any non-routine decision or developmental activity can only be initiated at senior levels.

Ineffective performance of developmental role: At the same time, sections entrusted with the developmental functions are generally perceived to be ineffective because of strong inter-functional boundaries and indifference at operating levels. To sum up, while the personnel at the operating levels face obstacles in performing developmental or entrepreneurial roles, there are relatively fewer problems in choosing the path of non-performance or mediocrity. On the other hand, people charged with developmental responsibilities restrict themselves to preparing plans and strategies on paper while complaining that they receive no cooperation in getting these implemented.

The Way Work is done

By and large, the emphasis at operating levels is more on ‘moving the files’ and ‘completing the paper work’ rather than in performing activities to have an impact. As a result, there is little attention to linkage, integration and people management issues.

Working through file movements: For every issue, a file is first opened. The file then makes its rounds through several offices, with individuals adding their notes, writing their comments, and making the file thick over a period of time. For example, a study in a state government department indicated that there was nothing casual about even casual leave application as it involved as many as sixteen steps before it was approved. For something that was a little more complex, such as sanction of earned leave, there were 26 steps. With so many steps, it is easy for an issue to slip and fall through the cracks at some stage in the process, and no feedback may be readily available on how and why the matter has come to a grinding halt.

In moving the files, attention is rarely directed to whether comments and notes actually lead to any useful change. The scheme is finally considered as ‘introduced’ when the office order or circular is released. Monitoring of the implementation is rare.

Lack of continuity at senior levels: At senior levels, officials are constantly shuffled around. They rarely get reasonable length of tenures of say, three to five years to make lasting changes. In a study of two districts of Rajasthan, over a 20 year period, the average term of the district collector was found to be 14 months. The same was true for block development officer. Wherever the officers go, they sign papers, write notes, and move files. There are no expectations that they would provide leadership to the department in the real sense of the term by building organisational capability and sustaining high levels of performance through a committed organisation.

While there is no continuity at leadership levels, there is still a high level of centralisation. In a study of a district magistrate in the state of Uttar Pradesh, it was found that 52 of the 66 departmental committees were chaired by the district magistrate. 42 of these committees related to rural development, and 30 of these were chaired by the district magistrate. These committees would not meet in the absence of the chairperson. As day to day issues are also controlled at senior levels, delays are common in decision making. Meaningful change occurs when energetic leaders take the proverbial bull by the horn, act on personal authority and make changes happen. But such instances are rare.

Little attention to people management: Lack of attention to personnel issues hampers several initiatives. A state government invested considerable resources to training certain individuals to function as Information Officers for their departments. But the subsequent placements of these individuals had little or no relationship to the training provided. Decisions pertaining to transfers and assignments are largely guided by short term considerations and are rarely based on up to date personnel records and long term plans.

Consequences

How do the factors listed above affect the emotional state of officers at operating levels and the perception about their roles and contributions in the organisation?

With an impersonal and procedure-bound approach, most people feel unappreciated, ignored or even hurt by the larger organisational system. As processes for redressing grievances are largely ineffective, people tend to stay with their residual negative feelings. As a result, very few people believe that they have a 'say' in the functioning of the department. They don't experience a sense of centrality, efficacy and positive influence. Not surprisingly, there is little motivation at work place for setting and achieving standards of excellence. They only respond to specific demands in their narrowly defined work spheres, and let go of opportunities to make improvements.

If we examine the perception of operating level officials, we would notice that a series of short-term steps have resulted in an organisational system that found itself in knots to initiate any meaningful change. There were also a few negative loops or vicious cycles operating in the system, as indicated below:

- When there is a high degree of centralisation, it tends to alienate employees, and so they shirk responsibility. But when individuals don't assume responsibility, it leads to greater centralisation.
- Employee development does not occur when individuals are confined to narrow roles. But this makes them unfit for larger roles over a period of time.
- When middle level officials display passive conformity or passive aggression toward senior and top executives, departmental leaders respond by building hierarchical and procedural walls between them and the operating level executives, which aggravate the negative sentiments.

Several problems also emanate from overstaffing. First and foremost, in an excessively differentiated structure with several departments and sections, it becomes difficult to ensure meaningful assignments, and grant the autonomy required to perform the tasks effectively. So, clear accountabilities are not defined at operating levels. When high performers see a number of employees around them getting away with very little or no performance, they begin to feel that the organisation is taking advantage of them. Stated differently, the organisation's inaction towards the low performers leads the high performers to think of work as a punishment and, as a result, their motivation is adversely affected. On the other hand, when the low or non-performing employees see that their lack of performance does not perceptibly change the work unit's outputs, they may conclude that their work is not very important or meaningful. When there is no guilt associated with lack of contribution, and there is also no external enforcement of accountability, the concerned employees are likely to experience little motivation to improve their performance.

The consequences are obviously serious for the overall performance of the department. As the officers are unable to perceive their roles in a larger systemic context, there are several negative outcomes:

1. There are problems of coordination within the department, and at the interface with other departments and agencies.
2. There is lack of personal and professional development on the job. With the departmental context fostering only narrow specialisation, the officers at the operating levels are unable to provide the leadership that is essential for making the changes required to enhance short term and long term performance.
3. The responsibility for task completion remains diffused, resulting in absence of accountability at various levels.
4. Introduction and management of change runs into problems as operating officers stay rooted in 'spectator' stance, and don't contribute their best to change efforts.
5. As a result, there is gross underachievement of developmental tasks and unresponsive administration characterised by delays, corruption, and poor coordination.

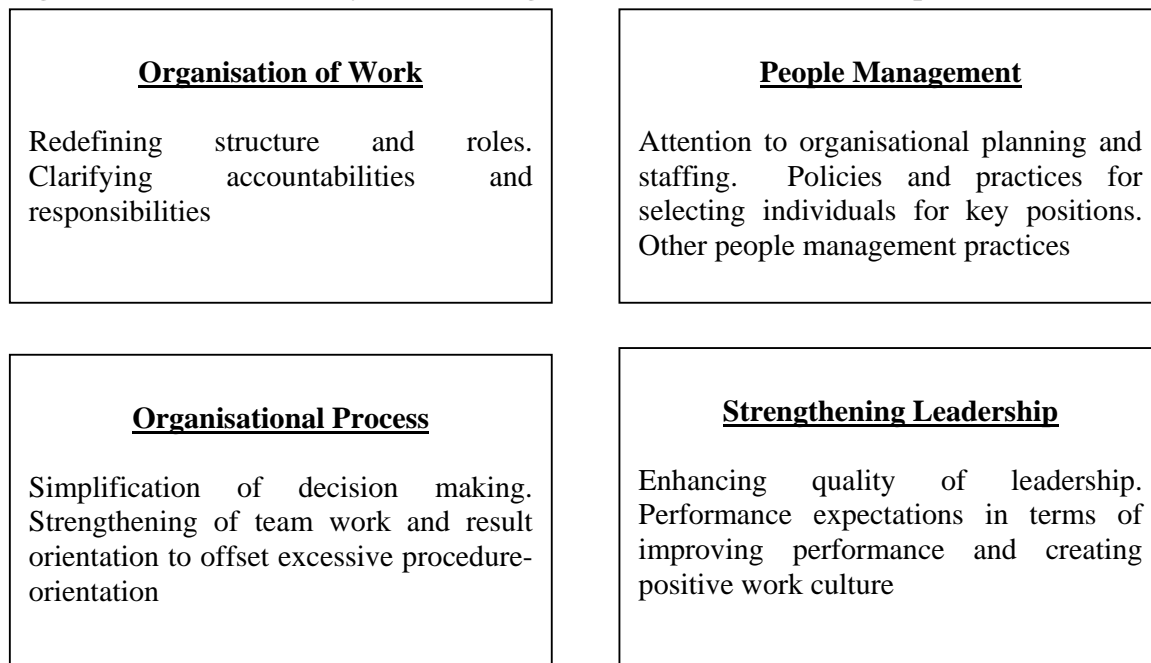
To sum up, the work culture tends to ritualise most things. Activities are undertaken with little concern for outcome and impact. Real concerns do not get expressed in meetings. Different types of reports are prepared at considerable cost, only to be filed away without initiating any corrective actions. People think that they have completed the work when they report a matter. There is little or no demand for performance upward or downward. Perhaps, the biggest crisis is that lower and lower standards of performance and service are accepted in the department without any serious questioning.

Overhauling the Structures and Systems

From discussions so far, we can see that the mindsets of organisational members tend to be quite stable because their roots are in the form of unchanging formal and informal organisational systems. When the organisational factors such as the patterns of organising work, people management practices and interpersonal relationships remain essentially the same, mindsets continue in their old equilibrium state.

If we examine international experiences, we would see that successful changes in the functioning of government have been brought about in some countries by making significant changes in key organisational arrangements. For example, case studies of transformation in these countries indicate that major changes were introduced in four key aspects of the organisation, as shown in Figure 4 below.

Figure 4: Structural and Systemic Changes Initiated: International Experiences



Approaches for organising work: Significant changes were initiated by redefining organisation structure and roles of organisational members. Interventions were made to identify accountabilities and responsibilities at key levels, and prevent crowding of hierarchy just to provide promotional opportunities for individuals.

People Management: Attention was paid to organisational planning and staffing issues. Policies and practices relating to selection and recruitment for key positions underwent dramatic changes. Competency identification and development was taken up especially for critical positions. Different aspects of people management, such as assignment of roles, job rotation, rewards and promotion were strengthened. Efforts were made to ensure a good ‘fit’ among these various components of people management. Different systems and processes were so designed that they complemented and supported each other.

Organisational Processes: Decision making was simplified. Team work, result orientation and initiative were strengthened to offset the inevitable pressure for excessive bureaucratisation that governmental functioning implies.

Leadership Development: The quality of leadership was enhanced at different levels of the organisation. Leaders were expected to invest efforts to change the work culture by mobilising the energies of operating managers, so that performance improvements can be sustained.

We would notice that these changes address the factors causing the ‘spectator’ mindset that we had outlined in Figure 3. Successful execution of such organisational changes in some governments has led to a significant transformation in the functioning of those governmental organisations.

But we must recognise that the changes of the kind outlined above are large and far reaching. Many of these changes pertain to the larger governmental system, and so are beyond the purview of individual departments/organisations. For successful implementation, power dynamics inherent in such a transformation process have to be confronted and managed. So, they can be initiated only with a strong political will at the highest levels in the government. They are liable to run into cultural inertia, and so without committed leadership and a long term perspective, such changes have little chance of being initiated, let alone taking roots in the departments and succeeding. While there can be little debate on the desirability of such structural changes, unfortunately the probability of their getting introduced in India in the present context appears to be rather remote.

Change Experiments and Experiences

Two broad categories of Change Experiments: When we examine the actual change efforts that have been attempted in governmental organisations in India, we find that there have broadly been two categories of approaches to bring about change in the organisations and the employee mindsets. These have been outlined in Figure 5 below.

Figure 5: Overview of Strategic Review and Core Group Approaches

Strategic Review Approach	Core Group Approach
Create new equilibrium by breaking the existing frame of reference for the organisation	Oriented to not disturbing the basic equilibrium. Focus on small doses of incremental changes
Aims to transform the entire organisation through new strategy, management processes and approaches in a break through format	Changes affect only part of the organisation, by modifying ways and means of doing work
Generally involves active intervention by external consultants	Builds on the efforts of organisational members. Little or no involvement of consultants.

In one category, change tends to begin with strategic reviews. Such reviews take an overall organisational perspective and usually call for long term changes. This approach seeks to break the existing frame of reference for the organisation and create a new equilibrium. Thus, it aspires to transform the entire organisation. Generally this involves creation of a new strategy, management processes and approaches in a break through format. The intention is to create new services and totally different ways of working. For the purpose of our discussion in this paper, we refer to such change efforts as ‘Strategic Review Approaches’.

Diametrically opposite approach is the one that begins with small doses of incremental changes. These changes affect only certain parts of the organisation. They occur through normal structures and management processes. Being oriented to continuous progression, they don’t disturb the equilibrium.

They seek to build around the efforts of dedicated ‘core groups’ of change agents, who would plan and make small changes actually happen in the department with small investments of efforts. The purpose is also to demonstrate that change is possible from within without additional resources and without larger organisational changes. If the group persists over a period of time and recruits supporters as in social movements, it is expected that changes would result in organisational mindsets. In this paper, we refer to this as ‘Core Group Approach’.

Both Strategic Review Approach and Core Group Approach have been tried out in certain governmental organisations/departments in India. The following sections are based on experiences and observations of these change experiments. We discuss each approach in some detail, and examine what have been observed to be the critical factors that are necessary for the given approach to succeed. Without those critical success factors, the efforts would merely generate a lot of activity and trumpeting, but no real changes. And failed change experiments tend to reinforce the ‘spectator’ mindset in people.

Strategic Review Approach

The overall organisational strategic reviews have been attempted in several state government departments. In these departments consulting studies have been commissioned to take a comprehensive look at the functioning of the organisation. In a few of these state government departments, it would appear that there have been studies conducted sometime or the other on practically every single significant issue. These studies analyse different aspects of the strategy and working arrangement, and present broad recommendations. But experience of actual implementation is hardly encouraging. Very few strategic review reports have been able to make the crucial transition from paper to practice. The ‘knowing’ does not translate into ‘doing’. If we examine the knowing – doing gap by taking a behavioural perspective, we’ll notice three major psychological impediments that strategic review experiments in government organisations have failed to deal with.

Firstly, strategic reviews rely primarily on the rationality and strength of the analysis and alternatives. When organisational members are high on motivation, and are more oriented to ‘actor’ mindset, the strength of argument is sufficient to elicit desired behaviour. Motivated and energetic employee groups would act quickly on an issue if they are convinced of the argument. But as our earlier analysis indicates, the members of governmental organisations are more in ‘spectator’ mode and are short on self-belief or self-efficacy. They are unlikely to be inspired to action merely by the power of logic underlying analysis and alternatives.

Secondly, strategic reviews have tended not to invest sufficient efforts in building ownership, involvement and commitment of people at operating levels, and getting them to initiate requisite actions to make changes happen. Large scale changes need major commitments of time, energy and effort from organisational members for successful implementation. Any demand for big commitment from individuals tends to create cognitive dissonance in those individuals. Psychological studies show that people may be inclined to make small commitments. Over a period of time, they may be willing to enhance the size of commitments. But a large and discontinuous demand right at the start, actually would create resistance to the idea as a result of cognitive dissonance, and reinforce the ‘spectator’ mindset.

Thirdly, such large scale changes require substantial amount of resources to be committed. 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 resources are spread too thinly over several efforts, and there is no continuity of leadership attention and effort, changes don't succeed despite best intentions. 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.

An informal assessment of some of the strategic reviews conducted in government departments/ organisations indicate that few of these have been able to graduate beyond PowerPoint presentations at senior levels. The actual implementation has been very weak. Officials at operating levels in these departments were found to continue in their 'spectator' mode, and were not even aware of the major points that have been raised and discussed in the strategic reviews of their department/organisation.

Core Group Approach

As we have noted, when employees are low on skills, motivation and self esteem, strength of arguments does not necessarily lead to action. In such a scenario, everyone may agree with the issues but no one comes forward to initiate actions required.

As a result, when the leaders or external consultants 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 'foot-in-the-door' would be helpful in such situations. This involves asking people to make small initial commitments. Small commitments lead to small wins. The small wins demonstrate to employees at operating levels that they can change certain things in the department or organisation. 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 experimentation with core group approach is persisted with.

The core group approach has been tried out in certain departments of a state government in India. In these departments, a core group of about 25 individuals were chosen through the process of peer group nominations. A cross section of officials in these departments were asked to think and propose the names of a few individuals, who appeared to possess the following qualities: (a) they were energetic; (b) they were credible; (c) they had a good track record of performance; (d) they were skilled in working with people; and (e) they were capable of effectively catalysing the change process. About 100 to 120 officials were requested to send slips with four to six names anonymously.

On the basis of the nominations of colleagues, a core group of about 25 individuals was constituted for each department. These members were called for a workshop with key leaders of the department and were expected to work on certain focus areas that meet 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.

The core group members were provided some tools and techniques to aid their analysis and problem solving. For example, the group members examined the reports generated at different levels within the department approval processes, meetings attended and procedures or practices for various aspects. They did so by using collective subjective judgments of core group members. They raised questions on what aspects add cost and delays, but very little additional value. A half-day discussion on this broad area was found to be sufficient to clear at least some of the inevitable fat or junk in the system that tends to accumulate over time. The key leaders made decision on the spot on those issues.

In the same way, a format was developed for examining the interface with citizens / customers. This focused on those aspects involving cumbersome procedures, repeated visits, calling for information piecemeal, lack of acknowledgement, absence of time frames for decision making, non-availability of officials for hearing grievances, and so on.

The core group also examined how it could recruit more individuals into the core group. There would be individuals with requisite enthusiasm and skills. There were discussions on how to identify them, induct them into the core group and involve them in appropriate assignments. The general expectation was that the core group would keep expanding over time.

The core groups met formally as a total group once in two months. In the intervening period, informal meetings and implementation of core group decisions were expected to continue. The leadership of the department was expected to support the core group through active involvement, their own willingness to question status quo and take quick actions when individuals and groups came up with ideas and suggestions that were backed by convincing analysis.

When the core group workshops were held, the spontaneous enthusiasm that greeted acceptance of even small changes showed that even small successes provide impetus for further investment of efforts by people, because successes, small or big, provide hope to members that real changes are possible through efforts of officials at operating levels.

As the experiment, described above is less than six months old, it is a little too early for a formal evaluation. But as the experiment has been carried out in about ten

departments and core groups in individual departments have met on more than one occasion, and informal feedback is available, some basic conclusions are possible. The preliminary observations seem to indicate that certain factors emerged as critical for cusses of this approach. These are discussed below.

1. *Motivation and Commitment of Core Group Members:* It was observed that a key success factor was 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 were too few motivated and committed individuals, the group found it difficult to break free of the inertia plaguing the system. Thus it is clear that for the experiment 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 consider their personal cost-benefit equation, but act because they believe in the cause.
2. *Leadership to sustain hope:* Most of the core group members were willing 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 was an important factor in this regard. When leaders did not display much enthusiasm or interest, the core groups seemed to quickly lose their impetus for change. Thus leaders play a key role in providing core group members 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.
3. *Framing of issues or organising of events to aid problem solving:* Simple tools and techniques to structure the analysis and action planning process were 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 were scheduled, they served to provide a context for galvanising people to action. The support for organising events and providing tools for analysis was provided from outside the department.
4. *Expanding core group:* When more numbers could be added to the core group through network of attachments and acquaintances, the approach gained strength. This also led to a more visible and a more positive shift in the mood within the larger department.
5. *Defining the outputs and outcomes desired:* The core group approach is also expected to promote changes in attitude. Achievement is a product of competence and commitment. When leaders make active contribution to defining the priorities clearly in terms of outputs and outcomes desired, motivation of core group members is stimulated. This requires clearly articulating the projects with medium visibility, having worthwhile pay-off, and not demanding very high levels of effort. When there is a clear and

specific demand, there is a spur for creating requisite capacity to meet that demand.

Concluding Summary

We started our discussions by examining the spectator and actor mindsets, and noted that the mindsets in government organisations, particularly at operating levels are characterised by spectator orientation. A study of the spectator mindset shows that it is rooted in certain factors such as:

- Excessively differentiated and rule-board organisation with too many free-riders;
- Hierarchical, impersonal and non-appreciative superior – subordinate relationships;
- Getting work done through file movements, paper work and reports with little attention to linkage, integration and people management; and
- Fragmentation and segmentation of roles and functions, with no rewards for good performance or punishments for poor performance.

As Nobel Laureate Herbert Simon has noted, if we seek to understand the shape that jelly would take, it is important to examine the mould in which the jelly would be poured, rather than the jelly itself. In a similar vein, if we seek to get employees to move away from the spectator orientation, there is a need to overhaul certain structures and systems in the government organisations. This is also borne out by international experiences. This change is not easy, and requires agreement and commitment at the highest levels.

Changes have been attempted in certain government departments/organisations through, what has been termed in this paper as strategic review approach. This approach is typically taken with the help of strategy consultants. It takes a comprehensive look at the organisation and suggests major changes. While there can be no disagreement on the desirability of these changes, the approach can leave the government officials in the role of spectator or skeptics. This is because the strong foundation of leadership and organisation needed for making the changes succeed do not seem to exist in most government departments.

Another approach to change seeks to build around the efforts of specially chosen core groups. These core groups plan and make small changes actually happen with small investments of efforts. In the process, they demonstrate that changes are possible from within without additional resources and without larger organisational changes. This approach too can be sustained only with certain critical success factors. It also remains to be seen whether the new mindset of ‘actor’ orientation can take root, and become sufficiently strong over a period to initiate changes of larger magnitude.

Obviously, all the three approaches are important – larger structural changes, strategic changes and more modest changes in work processes. Each approach requires a certain set of factors to sustain it. Without those factors, initiating changes would be akin to attempting to tend roses in desert soil and desert climate.

Government organisations, particularly in developing countries like India have a significant role to perform. Government officials have to provide service to the public in ways that are: (a) economical – of low cost; (b) efficient – maximising outputs

within budgets through good work practice; (c) effective – satisfying citizens/customers with their quality and timeliness; (d) ethical – fair and honest, and friendly; (e) accountable to end users – open, keeping the public well informed; and (f) responsive – taking into account priorities of clients.

This requires the government officials to unlearn ‘spectator’ mindset and assume the ‘actor’ mindset. Some change levers that can contribute to changing the mindset have been discussed in this paper. But the search for appropriate change levers, change strategies and change practices to achieve the mindset change is far from over.

Moving from Intention to Implementation: Follow-up Initiatives for 'Governing for Results' Workshops

–Dr S Ramnarayan and N. T. P. Kiran Kumar

Action Planning Process in Training Workshops

Training has moved beyond the traditional paradigm where it was merely a limited instrument to adapt employees' skills to job requirements. It has become an important tool of organisation development for communicating and involving employees in the change process.

When a wide cross section of organisational members from different levels and functions come together in a training workshop, an opportunity is created for taking the initial steps in the organisational change process. Such a workshop can serve several purposes:

- a) *Raise the consciousness of the participants:* It makes people aware of the gaps between reality and ideals. It tells them that things can be improved by paying conscious attention to what should be changed and how it can be changed.
- b) *Provide a common platform to articulate shared problems and difficulties:* Getting employees at different levels involved in a common workshop makes it possible to capture the insights that exist at multiple levels. Individuals at senior levels acquire a heightened understanding of the perspectives and concerns at junior levels and vice versa. Thus everyone can get a larger systemic perspective on the problem.
- c) *Generate ideas for change:* In a training workshop, individuals from different levels and functions are empowered to think out of box, challenge prevailing assumptions about the way “we have always done things”, and come up with action plans for improving key processes. For example, they can think about how processes and procedures can be simplified, how greater citizen focus can be achieved in departmental working, how delegation can be improved, and how capacity can be built.
- d) *Build a certain degree of ownership and responsibility for making improvements happen:* Organisational change becomes possible only when individuals and groups take ownership of the problems and resolve to act in their own zones of influence. Training workshops can create not only superior understanding and analysis, but also enthusiasm and determination to act. After going through the training workshop, a participant may decide to move away from the stance of a ‘spectator’, and assume the position of an ‘actor’ with regard to the organisational challenges, and make a difference.

Why Action Plans may degenerate into Ritualistic Wish Lists

Prof. Jeffrey Pfeffer, a noted management author, explores a particular form of inertia that tends to afflict organisations. He refers to it as *knowing-doing gap*. He argues that this rather strange organisational malady can often be traced to a basic human propensity: the tendency to let talk and presentations substitute for action. When

confronted with a problem, people act as though discussing it, formulating decisions, and working out plans of action are the same as acting and solving the problem. So an elegant PowerPoint presentation may be thrown at a real problem almost hoping that it would make the problem disappear!

But we all know that preparing analysis of problems and putting together action plan presentations are easier than implementing the action plans effectively. Organisational experiences indicate that unless the following *difficulties* are effectively dealt with, action plans would end up as vacuous wish lists.

- a) *Enforcing accountability*: When action plans do not have a clear time frame or a designated individual or group with clear responsibility for initiating actions or keeping the process on track, implementation may not occur. As an old anecdote goes, 'anybody could probably have done it, but everybody expected somebody to do it, but nobody did it'.
- b) *Translating goals and ideas into action with leadership guidance and support*: The initial action plans tend to be abstract statements of intent. There may be little clarity on how and when they are expected to be carried out, and by whom. Not much thought may also have gone into plans for tracking progress. These complex goals and ideas have to be 'deconstructed' so that people are clear about practical first steps, and therefore can approach change with greater confidence. In organisational change, we are not dealing with one problem, but with a bundle of problems. An ad hoc approach may solve one problem but aggravate another. As a result, with an ad hoc approach, an administrator may be caught in a reactive mode, responding to a host of signals from the organisational system, some of which may have emanated in the first place by the administrator's own actions or inactions. In such a situation, goals get degenerated, opportunities for the future are forgotten, and routine day to day crisis management becomes all-important. To avoid this trap and be proactive in dealing with change, it is important to carefully examine how goals can be translated into a cohesive, well-planned sequence of steps to change. Leadership supervision and active support during the process is critical for effective execution.
- c) *Sustaining energy through different stages of action planning and implementation*: The following diagram illustrates the different levels of team energy and enthusiasm at the action planning stage and the weeks/months following the initial planning process.

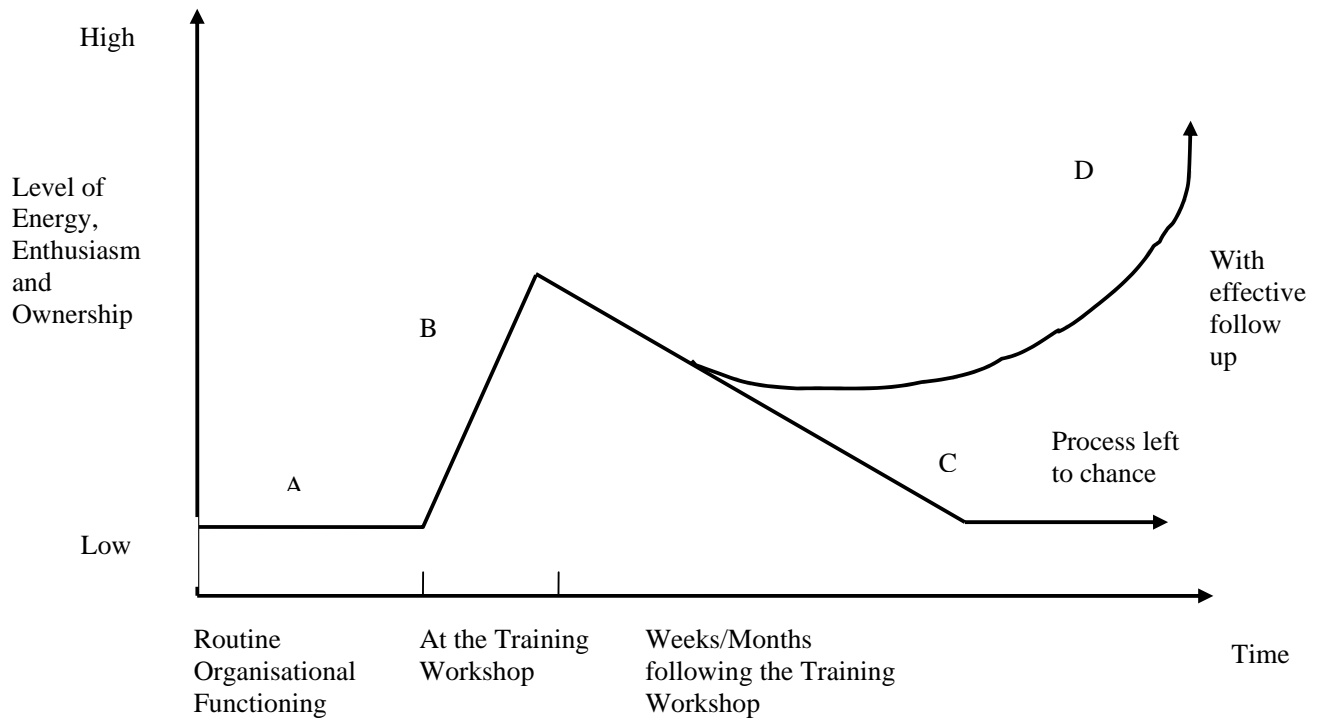


Figure 1: Team Energy and Enthusiasm over Time

During routine organisational functioning, generally there is not a great deal of energy and motivation for thinking out of box and making organisational improvements. This is represented by Part A of the graph above. As we have noted in the first section, training workshops present an opportunity to think afresh. Interest and excitement are created by the training environment, presence of top and senior administrators, discussions on future challenges and global trends. But experiences indicate that certain factors tend to act as dampeners on the energy and enthusiasm of the group. These factors include: doubts about training workshops and action planning exercises really yielding results, concerns about additional workload arising from improvement exercises, or questions about the opportunity or goal. So the extent of spurt in energy and enthusiasm can vary across different groups/departments. But generally, training workshops do tend to push up confidence, enthusiasm and ownership, as represented by Part B of the graph.

Organisational research indicates that within a couple of weeks after the training workshop, the energy levels wane as individuals perceive barriers to achieving the goals set during the action planning process. While some individuals may exhibit higher ownership of action plans and demonstrate greater willingness to invest time, energy and effort to implement plans, others may be less inclined to do so. This stage presents an important choice point in the change process.

At this stage, if matters are left to chance, effects of the training workshops and action planning exercises would be totally nullified over time, and the training intervention would end up as a mere 'flash in the pan', as shown by Part C of the graph. On the other hand, when there is *effective follow-up* to translate goals into actions, the energy tends to rise again. As people act, they would experience a sense of progress. They

would see their actions having impact and the early barriers being overcome. At the same time, they would also see new barriers emerging. But with persistence, there would be greater experience of success, and this would lead to higher levels of confidence for tackling newer challenges. This puts the group on a virtuous cycle of confidence and enthusiasm leading to success, which in turn leads to greater energy and ownership for making organisational improvements. This is shown by Part D of the graph.

Gearing Up for Real Improvements: Case of GFR Programme

A series of training workshops on 'Governing for Results' (GFR) were conducted by the Dr. MCR HRD IAP for various departments of the Government of Andhra Pradesh. Each of these workshops was attended by over a hundred officials of the concerned departments representing different levels, functions and locations. During the programme, the participants analysed the strengths, weaknesses, opportunities, and threats of the departments. They also prepared and presented action plans for improving citizen focus, simplifying processes and procedures, enhancing delegation, building capacity, and so on.

It has been recognised that this training intervention would have to be effectively supported by certain other initiatives so that real improvements can take place in the field. For this purpose, each batch of participants chose a group of about 25 individuals to facilitate the change process in the department and try to make improvements a reality. Each of the 100 to 120 participants of the batch, representing a specific department, was asked to think and propose the names of a few individuals, who could be entrusted the responsibility of assisting the leaders of the department in the change management process. Participants were told that they should nominate such individuals, who were perceived to possess the following qualities: (a) they were energetic; (b) they were credible; (c) had a good track record of performance; (d) skilled in working with people; and (e) capable of effectively catalysing the change process. The nominations were forwarded to the workshop organisers by sending slips with four to six names anonymously.

On the basis of the nominations of colleagues, a Core Group was constituted for each department, which consists of 25 to 30 individuals. They are expected to support the leadership of the department in spearheading the change. A separate programme has been envisaged for the Core Group members to help them develop a sharper appreciation of their role, and tools and techniques that can make them effective in discharging their responsibility were provided.

It has been visualised that the change process in the department would include certain important stages, as outlined in Fig. 2 below. A Responsibility Assignment Matrix for slightly more elaborated stages of the change process has been outlined in Appendix 1. The roles of leadership and core group members are critical for effective change implementation. These have been discussed in the subsequent sections.

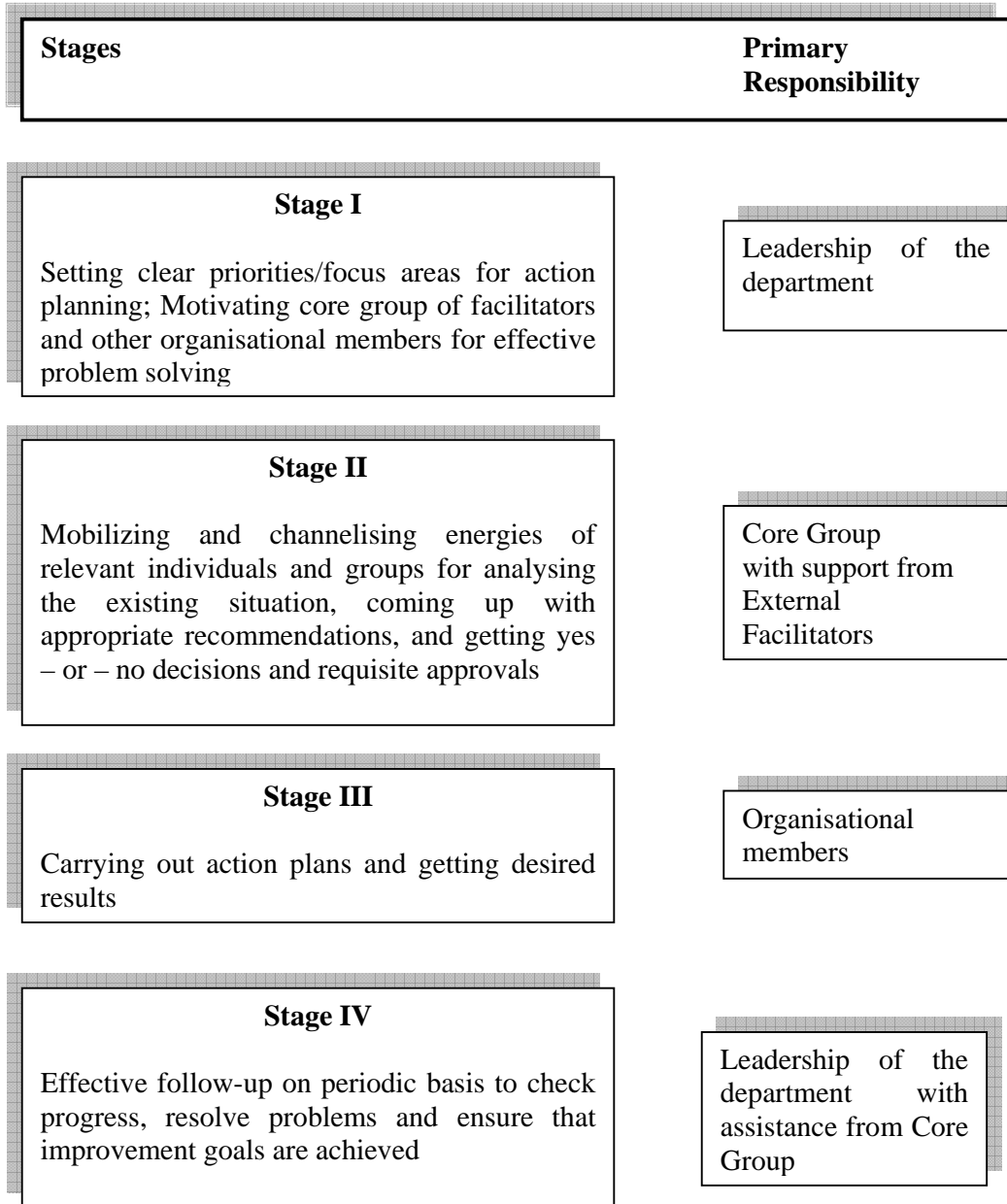


Figure 2: Stages in Development and Effective Implementation of Action Plan

Set clear focus areas and keep the spotlight on those key priorities:

Leadership Responsibility

Let us imagine that we take a convex lens out on a sunny day and focus the Sun's rays on a white sheet of paper. Within a short time, we would see the paper turning brown and then slowly starting to burn. On the other hand, if we keep moving the lens and don't keep the rays focused, nothing happens to the sheet of paper. In the same way, when leaders focus on certain key priorities, they are able to make a difference. But if no focus areas have been identified for improvement, nothing more than routine work is likely to be achieved by the department.

Many-a-times, action plans are presented as a long laundry list. A whole host of concerns are listed with no order of priority. When leaders do not make a clear choice, efforts remain scattered and implementation suffers. It is important to clearly communicate not only what issues to include in the priorities, but also what issues to exclude.

As a part of GFR follow-up, it is visualised that there would be first a formal session with key leaders of the department. This would be followed by separate workshops for members of the core group. During the interaction with the leaders of the department, they would be asked to review the action plans formulated by participants during the GFR training workshop and select priority areas to focus on. The following criteria would guide the choice of focus areas:

- 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, it would be desirable to take some short-term pay-off projects so that there are visible improvements in 3 to 6 months. Visible results can generate positive feelings not only among citizens/stakeholders, but also among individuals and groups involved in the change effort.

Organisational research indicates that the leaders ought to do the following to translate plans into actions:

- a) Exhibit the characteristics of realistic attitude, simplicity, and clarity;
- b) Clearly articulate two or three priorities, and allocate attention to these aspects on a consistent basis; and
- c) Walk the talk – Set example/s of personal initiatives in the focus areas.

Realistic Attitude, Simplicity and Clarity: Leaders have to ensure that action plans are realistic. They should carefully consider the available resources, and make choices in terms of what can be held back to make something else happen. Simplicity and clarity go hand in hand. Beyond a certain level of complexity, it is difficult to translate the nuances of a plan throughout the department. There should be clarity on what needs to be done by various individuals. The concerned individuals should receive clear communication about their role.

Attention to Articulated Priorities: Attention is a scarce resource in organisations. If we all had unlimited time and unlimited attention, we may decide to do all that we are capable of doing. But when there are multiple pressures, people tend to take up only those issues that they feel comfortable with. That is why there is a great deal of

enthusiasm at the diagnosis and action planning stage, but levels of interest and energy dip when people get to implementation stage and hit some road blocks. When individuals lose interest, they succumb to competing distractions. This is one of the key reasons why all change efforts are subject to lull periods. To ensure that a lull period does not lead to slow death of the change process, the departmental leadership has to keep the spotlight on the change process till improvement goals are achieved fully.

Walking the talk: When employees observe that the priorities are reflected in the leaders' actions, not just their words, they take those priorities seriously. Outstanding leaders create enthusiasm and determination among people for change goals by setting personal examples.

Noted author Prof. Jim Collins states that leaders with clear goals are less tempted to undertake other activities. Such leaders have a clear agenda of what they want to accomplish. They commit to two or three priorities and devote complete attention to the projects that they believe in. This helps them avoid the traps of reactive orientation and getting sidetracked by distractions. A strong and consistent set of priorities at the top focuses energies of organisational members, and goes a long way in ensuring the success of the process of making improvements.

Mobilise energies of relevant groups and make changes happen:

Core Group Responsibility

In the words of Lord Keynes, *“A large proportion of our positive activities depend on spontaneous optimism rather than on mathematical expectation... if animal spirits are dimmed and the spontaneous optimism falters, leaving us to depend on nothing but mathematical expectation, enterprise will fade and die.”* A change process makes a great beginning when leaders of the department articulate clear priorities and keep the spotlight on the change by devoting their time and attention to communicate the importance and urgency of change. They need to be backed by the committed efforts of energetic and optimistic individuals, who translate the leadership vision into thoughtful actions. Members of the Core Group are visualised as those credible individuals who would back up the goals set by leaders with their energetic efforts and make changes happen.

The Core Group would have four important interfaces to manage, as shown in Figure 3 below. Appendix 2 presents a more detailed profile of the roles of Core Group members.

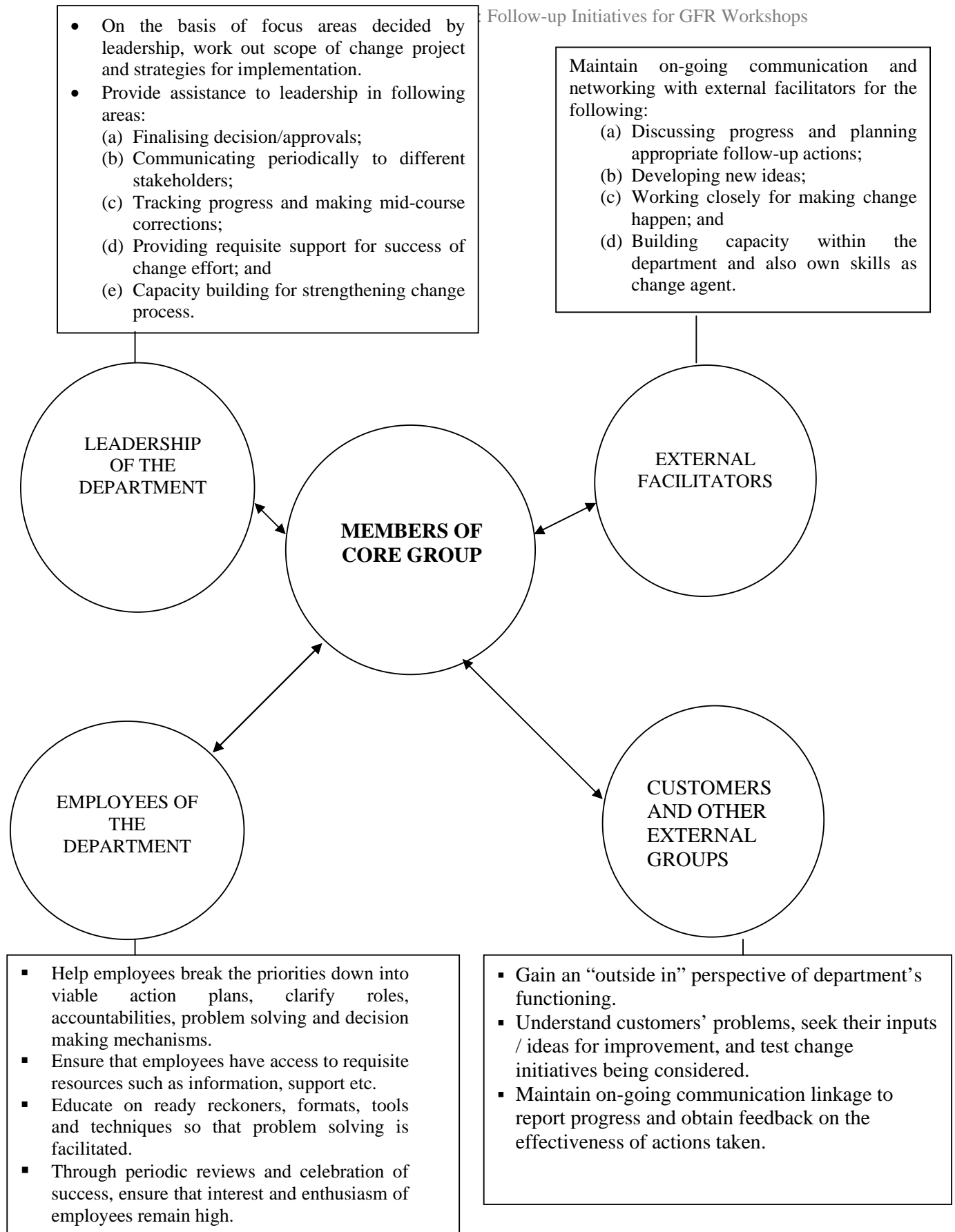


Figure 3- Key Interfaces for Core Group Members

As indicated in Figure 2, Core Group members would take the priorities set by the leadership of the department, and would work out detailed action plans in terms of who would do what, how and by when. They would assist the leadership in communicating periodically to different stakeholders, and in tracking progress. They would also develop an inventory of skills available within the department for effective change implementation, and initiate efforts for greater capacity building.

The core group members would also remain closely associated with external facilitators for new ideas and skill building. They would also initiate efforts to get the external facilitators involved in a consulting capacity, where such association can help the department in speeding up the reform process.

The role of core group members at the interface with other employees of the department is a very important one. It is at this interface that the efforts for change would actually be made. A number of ready reckoners, tools, techniques have been put together for aiding analysis/problem solving. Illustrations of tools and formats that can be used for aiding group problem solving have been presented in Box 1 below.

Some illustrative formats for sharpening analysis for problem solving

Brainstorming Ideas of what could be improved

1. The group members can answer the following questions individually and then get involved in discussion of:
 - What work practices consume time and effort but don't seem to add any real value?
 - How many people are involved in this work practice across the department? and
 - How much total time is spent on this work practice?

	Self	Department	Group	Company	External
Reports					
Approvals					
Meetings					
Measures					
Policies					
Practices					

Could it/they be

1. eliminated?
2. partially eliminated?
3. delegated downward?
4. done less often?
5. done in a less complicated or time consuming manner?
6. done with fewer people involved?
7. done using a more productive technology?
8. improved/enhanced in any other manner?

Format for Action Planning

Recommendation:

Action(s) (what)

Responsibilities (who)

Dates (when)

Plans for Tracking Progress (what to track and how often):

Team Leader:

Questions to Strengthen Action Plan

What is the probability of success? Are there ways to increase it?

Are the dates realistic, given other commitments and priorities?

Have you considered key risks and weak spots? Can you build steps into the plan to address these?

Who do you need to share the plan with? How will you communicate what you may do to those affected? Are there people who should become part of an “extended team” – that is asked to help with some parts of your project?

How can you generate greater enthusiasm among team members involved in the effort?

Communication Plan

Instructions: Within each cell, note the key message for that audience and the primary modes for conveying it.

Stakeholders/ Audience	Month 1	Month 2	Month 3	Month 4
Senior Management				
Middle Management				
Supervisors and Employees				
Customers/Suppliers/ Other external stakeholders				

The following questions need to be considered in laying out a communication plan?

- What messages should be communicated?
- Who should receive it?
- What is the appropriate time frame?
- How should the message be communicated?

Effective role performance would require Core Group members to function in a catalytic mode to assist individuals and groups to achieve results. They should be able to help people collaborate, share accountability, work productively together, enforce positive work norms, and improve performance. This would require Core Group members to build skills in active listening, questioning, probing, picking up signals, managing conflicts constructively, and communicating in a manner that creates shared interest and understanding. They would receive developmental inputs to help them acquire skills of change agents. A special effort would be made to identify the important skills and competencies that the Core Group members would need. For example, this would include skills of being an internal consultant/change agent, problem solving abilities, etc. Core Group members would receive special training to hone their skills in these areas. As they represent the cutting edge of the proposed change initiative, it is recognised that their skills have to be sharpened.

Conclusion

Are action-plans formulated in training workshops ritualistic wish lists, or are they powerful road maps? This is a rhetorical question. Obviously, action plans should not be allowed to degenerate into ritualistic wish lists. They must become powerful road maps to take the departments forward on the improvement path. And this requires thoughtful follow-up actions by committed individuals based on a clear understanding of what is required to make change happen.

Change is a process that unfolds over a period of time. First, there is awareness of the need for change. There should be acknowledgement that status quo is no longer viable, and there is need to move away from the past practices. Then the organisation creates and adopts a new direction. It sets clear priorities, from which it develops

viable action plans. Then it gets organised for implementation. This requires clarifying roles and responsibilities, and building appropriate vertical and lateral linkages to foster information flow, problem solving, and achievement of desired results. When actions follow, results are achieved.

There is a simple formula that captures the dynamics of change: $C = (ABD) > R$. In this formula, C is change, A is the level of dissatisfaction with the status quo, B is the clear desired goal, D refers to the actionable first steps, and R is resistance to change. C occurs when the products of A, B, and D exceeds R. In other words, for change to take place there must be: (a) dissatisfaction with status quo (A); (b) a clear direction or goal (B); and awareness of practical first steps (D). Since we have a multiplicative relationship here, even if A and B have high values but D is zero, the product (ABD) becomes zero. Thus, successful change occurs only when all three are present. Otherwise things do not happen as assumed.

Carl von Clausewitz, the author of a seminal work on the conduct of war, states: *'In war, everything is simple, but it is simple things that are difficult.'* Change programmes often fail because managers have not taken into account all the irksome little conditions or frictions that have to be dealt with for the plan to succeed. Successful achievement of intended results requires that all the aspects of change are anticipated and dealt with quickly and effectively.

This paper attempts to outline the important role that the leaders of the department and the members of the core group have to play for the success of the change effort. Based on the roles and change model described in this paper, a series of workshops have been planned to sensitise the relevant individuals to the demands of their new roles, and equip them with requisite skills and support. The objective of these follow-up plans is to ensure that the action plans worked out at the end of the GFR workshops become powerful road maps to guide the departments to the goal of enhanced effectiveness.

Annexure 1

Responsibility Assignment Matrix

	HRD Institute/ CGG	Leaders of the Dept.	Core Group Members	Employees of the Dept.
Developing and conducting workshops for Leaders and Core Group members to follow up GFR initiative.	A	C	C	-
Deciding on focus areas/change priorities for the department.	C	A	C	-
On the basis of the focus areas, decide on the scope of the project. This would include: (a) breaking larger goals into manageable change projects that can be tracked; and (b) change implementation strategy (for example, where the change project would be initiated first, and who would be involved with the project, when, and how).	C	B	A	C
Getting organised for implementation – clarifying roles and accountabilities, providing resources, etc.	C	B	A	C
Preparing tools, techniques, frameworks, formats, and checklists as ready reckoners to assist analysis and problem solving.	A	C	-	-
Mobilise energies of individuals, guide their efforts, and help employees implement action plans.	-	B	A	C
Communicate in a manner that energises employees. Keep every one updated on plans and progress.	-	A	B	C
Track progress against plans, make mid-course corrections, and ensure that results are achieved.	C	A	B	C
Spread change by building greater capacity.	C	B	A	-

- A - Responsibility for Initiating Actions, Coordinating Efforts, and Keeping Process on Track**
- B - Responsibility for Making Significant Contributions (such as reviewing progress, providing clearances/approvals, etc., for making change happen)**
- C - Responsibility for Consultation and Providing Inputs when asked**

Annexure 2

Key Responsibilities of the Core Group Members

Tasks/Responsibilities at the Interface with Leadership of the Department

- Discuss with leaders and understand the priorities/focus areas;
- Work out scope of the change project in terms of the following:
 - (a) Locations/work groups where the change would be introduced first;
 - (b) Time frames;
 - (c) Key individuals/groups to be involved;
 - (d) Strategies for creating enthusiasm and dealing with possible resistance;
 - (e) Monitoring mechanisms;
- Verify if the scope is in line with the focus areas decided by leaders;
- Break the larger goals/priorities into smaller change projects that can be tracked/monitored;
- Get requisite decisions, approvals and resources for initiating change;
- Set review criteria, review periods and assist leaders in tracking progress and making mid-course corrections;
- Help leaders communicate right information periodically to right quarters to keep up the momentum of change;
- Give frank feedback to leaders on progress achieved, hurdles faced and support required;
- Prepare and discuss plans to spread the change through additional capacity building.

Tasks/Responsibilities at the Interface with External Facilitators

- Identify where external facilitators can help your department make faster progress on change projects, and initiate arrangements for getting them involved;
- In consultation with external facilitators, establish clear processes for periodic communication/review of progress in change project;
- Draw on resources of external facilitators as and when required;
- Remain in touch with them for new ideas. Find out how change is being implemented in other departments, and what can be learnt from others' experiences;

- When external facilitators get actively involved as consultants, work as members of internal task force and be closely associated with diagnosis, action planning and implementation stages;
- Build strategic relationships to update oneself on latest knowledge/developments in relevant fields;
- Make an inventory of existing skills/motivation for effective implementation of change, identify gaps and prepare plans for bridging the gap by building requisite skills and energy;

Tasks/Responsibilities at the Interface with other Employees of the Department

- For organising the work, take priorities/focus areas and work with relevant individuals/groups in organising these into viable steps. Ensure that the following aspects are clarified:
 - (a) Roles and accountabilities for different individuals;
 - (b) Mechanisms/Processes for making appropriate decisions;
 - (c) When and how the different individuals/groups are involved;
- Ensure that systems/processes are in place for employees to access the requisite resources for effective change implementation. These resources would include: information on key aspects, support from influential people, understanding of why the given change project is important and urgent, support/guidance when individuals run into difficulties, exposure to new knowledge/skills, etc.;
- Educate employee groups on the use of ready reckoners, formats, tools and techniques for effective problem solving, so that there are clear guidelines in terms of who, what, when and how at different stages of change project. These tools help align everyone's thinking and action. Ready reckoners also help employees anticipate possible fail points and be prepared to avoid those traps;
- Find out ways to create interest and enthusiasm among people through periodic communication on progress and celebration of achievement of important milestones or special individual/group accomplishments;
- Review/monitor progress with employees to sustain interest and keep the spotlight on the change programme;

Tasks/Responsibilities at the Interface with Customers and other External Groups

- Constantly seek feedback from customers and other relevant external groups to gain an "outside in" perspective of the department's functioning;
- Maintain on-going communication with the customers to ensure the following:

- a) Understand the problems faced by customers;
 - b) Seek customers' inputs, and pick up new ideas from them for improvement; and
 - c) Test the change ideas being considered by the department;
- Verify if the scope of the change project is in line with the customers' requirements/needs;
 - Prepare a communication plan to inform all customers about the progress of the change initiative at regular intervals, and gain their feedback on its effectiveness;

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Management of Change in Government

—N. T. P. Kiran Kumar

Introduction

We live in a world of swift changes. Almost every day our society grows more complex, particularly as new technologies and changing demographics strain the old social system. Faced with changing citizens' needs and requirements, increasing public demands for better service, more and more governments have recognised the need to change the way they organise and operate to deliver the highest quality service to internal and external customers. Many governments are falling behind in the effort to keep up with the demand for their services.

All over the world, and more particularly in developing countries like India, changes are taking place rapidly. Often these changes are mismanaged because of inexperience or lack of skills. When this happens, expected benefits do not accrue and cynicism sets in. The management of change, therefore, is one of the vital functions of senior government functionaries.

Business organisations have started to adapt to these change by reducing their reliance on managerial authority, formal rules and procedures, and narrow divisions of work. And they are creating task forces, teams, sharing information and delegating responsibility and accountability far down the hierarchy. While a few progressive business corporations are building new partnerships with workers and their unions to meet these challenges, much of the government departments and public sector undertakings continue to operate under the old command-and-control management system, which is built on hierarchy and rules.

Today, for the typical front-line public employee to resolve an on-site problem or perform a function outside the rules and regulations, he or she must first seek approval from a supervisor who is frequently far removed from the actual work place. And that's not all. The immediate supervisor often must go through more channels until a higher-up signs the proverbial 'form in triplicate.' Not only are workers stifled and demoralised by such a system; the public also loses confidence when workers who know how to get the job done are saddled by a burdensome, costly and inefficient bureaucracy. Front-line employees in both the public and private sectors must adapt quickly to these changes. They must manage new technologies, perform increasingly complex tasks, assume new responsibilities and fine-tune their work for the changing needs of the public. Today's society demands efficiency, expects competence and has little tolerance for waste.

Forces for Change

A persistent problem for public managers is to identify and act on opportunities to improve quality and efficiency in government. Unlike private companies, government departments do not have the constant pressure of generating profits and building market share. In the private sector, market forces normally stimulate change and discipline organisational performance. But in contrast, absence of strong external pressures such as budget crisis or breakdown in service delivery which sometimes prompt urgent re-examination of government practices, it is difficult for public

managers to focus attention on or motivate changes in how departments perform their daily tasks.

The issue is organisational renewal: spurring innovation not to institute wholly new services, but to make existing government functions operate better, faster, more cheaply. Public departments do not ask such questions frequently enough, nor are they good at mobilising commitment and resources to implement needed changes.

As shown in the Figure 1, there are certain environmental forces driving the need for change in government. These include Rising Public Expectations, Globalisation, Fiscal Pressures and Decentralisation.

Rising Public Expectations

The challenge of meeting rising public expectations in the context of decreasing public expenditures is significant for many governments. The public has come to expect better quality and more accessible public services from government. Because of these higher expectations and the fact that there are simply not enough resources, government is challenged to do more with less by allocating resources more suitably and making better use of them.

Most countries are under increasing pressure from the public. This is primarily due to developments in technology and communication (citizens are better informed and expect quicker services); education (citizens are more discerning); secularisation (citizens are more individualistic and critical); and wealth accumulation (citizens have the means to exact the level of service they feel they deserve, as well as to pursue alternative service delivery options). Citizens want to have their say in the way the public administration is run and expect the best services at the lowest prices.

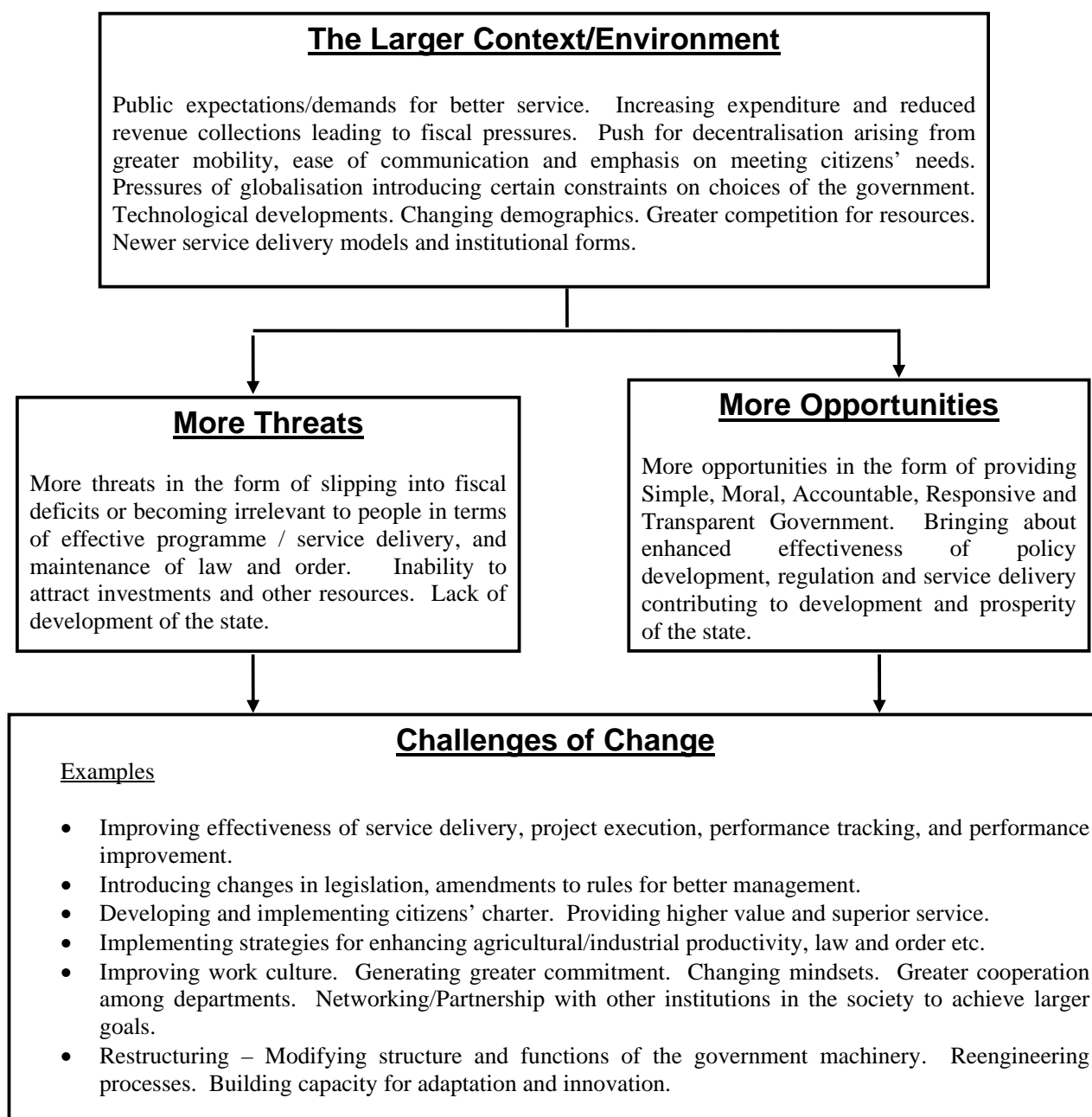


Figure 1: Forces driving the need for change in Government

Today governments face an array of challenges, including transition to a knowledge-based economy, rapid technological advances, and changing demographics. These challenges require a fundamental re-examination of the government's priorities, processes, policies, and programme to effectively address shifting public expectations, needs, and fiscal pressures. A mixture of critical resources is needed for the government to better deliver public services. As the public expects demonstrable results from the government, government leaders need to increase strategic planning, address management challenges and high-risk issues, use integrated approaches, enhance their departments' results orientation, and ensure accountability.

Globalisation: Globalisation has an impact on most dimensions of government administration in most countries, and constrains the ability of governments to act independently. Gone are the days when major decisions on the extent and the manner of government intervention could be taken in isolation without considering their reverberations to and from the outside world.

Fiscal Pressures: Fiscal pressures result because government budgets seem perpetually tight. Demands for services always seem to outstrip the available resources/revenues. Those who want government to do more recognise that it must do what it does now – but do it better. Everybody wants government to sharpen its focus on producing results that matter for public and their families in large. Fiscal pressures demand better performance from government with fewer resources. Many government departments are struggling to meet citizens' demands for better quality of service and low cost of operations. They are constantly under pressure to “do more with less.” However, it is still widely believed that, for sustained economic growth and financial stability over the long term, fiscal discipline must be maintained. The public debt remains too high. The opening of financial markets and the resulting “globalisation,” too, are generating new pressures: more than ever before, governments must compete with one another for foreign investments, and to be competitive they must have low inflation and stable exchange rates, and, hence, fiscal discipline.

Decentralisation: Decentralisation of authority and power to lower levels is a major force driving the need for change in the way government operates. The greater mobility of persons and goods, and ease of communication and information flows, has brought a number of public activities within effective reach of people. This has forced governments to decentralise the decision-making authority to the citizen contact point level.

Over the last two decades an increasing number of countries have made efforts to decentralise government services, often with emphasis on citizen's needs and requirements. Decentralisation has emerged as a result of a global trend to local autonomy and self determination, and as a result of a trend to reduce reliance on centralised planning of economies and be more responsive to citizens as well as local needs and characteristics. Governments today are pressurised by citizens to improve the delivery of public services in terms of responsiveness, effectiveness and efficiency through decentralisation.

Thus, factors behind decentralisation appear to be related to:

- Trends worldwide towards a realisation that development should not be a top down process but rather that it requires community involvement and motivation. This has spilled over into demands by local governments and local populations for a greater share of resources and decision making power to affect their own development.
- The realisation that centralisation of the planning and allocation of resources has led to only limited flows of resources to the peripheral levels with much of the funds being drained off centrally. In some cases, at least on paper, governments are decentralising with the aim of improving public-sector/local government administration and performance and in an attempt to be less bureaucratic.
- A realisation that centrally administered programmes do not always provide for effective programme delivery at the local level, as they do not take into account local needs and characteristics.

Forces for change also include:

- Limited resources;
- Good Governance;
- Accountability;
- Technological Innovations;
- Downsizing;
- Restructuring;
- Changing relationships between public servants and citizens; and
- Changing societal norms.

If we do not change our direction, we are likely to end up where we are headed.

- Chinese Proverb

“Change”, in its broadest sense, is a planned or unplanned response to pressures and forces. Technological, economic, social and political forces have caused governments to modify their workings for decades. It would be unrealistic to suggest that there is universal agreement on the magnitude, the timeframe, and the implications of these forces. One part of a department might perceive reasons for change, while another may not; different parts of an organisation might find different reasons driving change as well.

What is Change?

For centuries, philosophers have struggled with different notions and views of change. The focus of contemporary management scholars on constant change owes a large debt to Heraclitus, who lived around 500 B.C. He said, “everything is born in strife and is in constant flux and whatever lives, lives by destroying something else (Wagner, 1995). Though the practice of management is as old as humanity, its formal establishment as an academic subject is a fairly recent one (Carr, 1996). Even more

recent – dating back to the 1940s is the emergence of ‘Change Management’ as a subject of inquiry.

According to the Chambers Dictionary, change means to alter, or make different, to make or to pass from one state to another, to exchange. In their writings, Chattopadhyay and Pareek (1982) describe organisational change as a relatively enduring alteration of the present state of an organisation or its components and their differentiated and integrated functions in totality and partially, in order to obtain greater viability in the context of the present and anticipated future environment. To Khandwalla (1982), organisational change means significant alteration in any one or more of the tasks, techniques, structure and people of the organisation.

Unplanned and Planned Change

There are two basic forms of change. One type is the **unplanned change**. Situations or conditions that is imposed on the organisation, and often unforeseen. Responsiveness to unplanned change requires tremendous flexibility and adaptability on the part of departments. A second category of change is the **planned change**. It can be defined as a conscious, deliberate and usually collaborative effort to improve the operations of a system. It involves some kind of organised effort and a deliberate decision to alter the department. Planned change, therefore involves inventing a future, and creating conditions and resources for realising that future.

Organisations are open systems that are dependent on their environment. As the environment does not stand still, organisations must develop mechanisms to facilitate planned change (Robbins, 1983). The concepts of “planned change” and “managed change”, commonly used in management literature, refer to changes that are deliberately shaped by members of the organisation. Throughout the large and expanding body of literature on change in business organisations, there is a consensus that planned organisational change is the most effective means by which change can be effected. The objective of planned change is to keep the organisations current and viable.

Types of Change

Linda Ackerman provides a useful way of categorising changes:

The first type of change that Ackerman suggests is *developmental* change: “The improvement of a skill, method or condition that for some reason does not measure up to current expectation... [thus] to do better than’ or ‘do more of what already exists” . This might be considered fine tuning – helping a department stretch, and thereby change.

Transitional change is introduced to have a department evolve slowly; current ways of doing things are replaced by something new, for example, introducing new services, processes, systems, technologies, etc. This kind of change involves many transition steps during which the department is neither what it once was nor what it aims to become. Such steps include temporary arrangements, pilots, and phased-in operations.

The most radical change Ackerman suggest is *transformational*.

It is catalyzed by a change in belief and awareness about what is possible and necessary for the department It is something akin to letting go of one trapeze in mid-air before a new one swings into view Unlike transitional change, the new is usually unknown until it begins to take shape.... Most of the variables are not to be controlled, rushed or short-circuited.

Transformational change does require a leap of faith for the department, although it is often initiated when other options appear to have failed. It is typified by a radical re-conceptualisation of the department’s vision, mission, culture, critical success factors, form, leadership, and the like.

Determining what kind of change a department requires is clearly vital, for the depth and complexity of implementation grow significantly from developmental (much skill-building training), to transitional (setting up temporary positions, structures), to transformations (developing new beliefs, systems, gaining department wide commitment). A way of assessing the kind of change a department needs is to ponder the following questions prepared by Todd Jick.

Given that the department is under pressure to change its current way of doing things,

1. How far do we want to go? Is that too far – not far enough?
2. Are we contemplating the “path of least resistance,” or a direction that is truly needed?
3. What kind of results do we want – short term, longer term?
4. Do we want permanent change – or will that risk inflexibility, making future change more difficult?
5. How much change can the department absorb? At once? Cumulatively?
6. Can the changes contemplated be presented positively? If not, why not?
7. What happens if we don’t change at all?

When to Change?

Given the pressures and types of changes possible to institute, *when* is the decision made to pull the lever. Basically, a department can institute change when

- Things are going well;
- Results are mixed;
- A full fledged crisis is upon it.

A department can anticipate pressures “down the road.” Considering making changes proactively can be partly a matter of foresight and preparation, but it can also entail the belief that if the department is not routinely changing itself, it risks complacency and stagnation.

Or, a department can encounter a problem, not necessarily life-threatening but one deserving attention, and thus feel the need to introduce change. Alternatively, a department faced with a definite threat – alarmingly deteriorating public perception – will most probably institute change, acutely recognising the need to do so.

Given these general “times” for introducing change, one might assume that the process is easier when the department is in crisis; the situation is clear to all, survival is on the line; everyone recognises that the way things have been done will not work anymore. But the very fact of the crisis suggests that there has been at best inattentiveness to its origins; there may be deep departmental problems that deter introducing changes to confront the situation. Thus, one might say, changes really should be made in anticipation of difficulties. But, paradoxically, making changes before “the crisis” is equally difficult – how can a department be energised to make changes when the need for them is not universally perceived? Some argue that a way around this paradox is to manufacture a sense of crisis rather than wait for the “real” one to appear. This crafting of urgency presumably elicits a responsiveness to change while placing the department at risk. The danger of this approach is in “crying wolf”.

When to change thus involves an exquisite sense of timing: have we waited too long or have we started too soon? The challenge is to choose the time when the department both should make changes and can do so.

Enabling Change: Choice Points in Change Management

Beyond the issues of what kind of change is needed and when it should be introduced, a department considers how to enable the change to be effective. This is not strictly an implementation matter; rather it involves yet another group of strategic choices to be contemplated before actual implementation occurs.

The first enabling issue is *pace*. How long will it take to design the change plan/programme? How quickly should the change unfold? How much accommodation should be made for trial and error learning? Is it “easier” for the department to introduce change quickly or over a period of time? But how much time does the department have, given citizens’ needs, competitive demands, i.e., the forces that are driving the change in the first place?

Related to pace is *scope*. Obviously this issue stems in large from the vision of what change is needed, but there are still choices to be made. Should the change start small and grow; or should it start big? If it is to be piloted – where and with whom? Should the pilot run in an area “loaded for success?” Where is the best climate for experimentation? Where is it more generalisable to the rest of the department?

If the decision is to start big, the issues of *depth* arise. How many changes can be introduced at any one time in any one area? The high risk/high reward approach is to blitz a department with a large number of consistent changes simultaneously to ensure maximum impact. But there is probably, a limit to how much change can be absorbed before resistance is mobilised – actively or passively, positively or negatively.

And related to scope is *publicity*: how loud, and to whom should the department announce change is on the way? The rationale is that to enable a department to change, there must be many clear reinforcements and motivational cues; everybody has to be excited and “committed” at the outset. On the other hand, this approach raises expectations (which may be too high already), makes the change highly visible and thus a target for snipers, naysayers. Little room for flexible adjustments of the change plan may be left. Thus, there is an argument for a quiet, understated introduction, which “controls” resistance, allows for mistakes in learning, and

moderates expectations. In either approach the issue is publicity; not communication, which is essential, although the degree of explicit information and to whom it is given may vary.

Another enabling change issues *supporting structures*. What mechanisms does a department have, or will put in place, to further the change effort? How much should be done through “normal” management processes and how much should be specially created?

Going through routine channels enables the change to be considered part of the normal expected departmental activities. The risk, of course, is that it might not be perceived as sufficiently important to get adequate attention and dedication. All too many change “projects” die early because they become too routinised. However, bringing in too many consultants and having too many task forces risks making the change effort the only departmental preoccupation.

The final enabling issue is deciding *who drives the change*. The classic approach has a senior departmental person “develop a vision”, which in turn is endorsed by its minister, and then assigned to middle management to implement. Clearly this approach depends on gaining department leadership commitment, but it underpays the need for middle or bottom level ownership. A second classic approach is the reverse; the need for change is envisioned from deep down in the organisation, brought up for approval or endorsement to highest level appropriate and then again placed in the hands of the middle of the department to implement. Research evidence again and again proved that middle management is critical to the success of any change effort. A third approach is using an outside consultant as an implementer/facilitator. This approach has its own inherent advantages and disadvantages. Advantage is that outside consultant brings in fresh perspectives to the problem on hand and also brings his expertise in the field. But, acceptability is a major disadvantage. Employees in the department may not accept him as he does not understand the ground realities of the department.

Resistance to Change

Perhaps the greatest challenge of all comes with the awareness that managing change includes managing the reaction to that change. Especially, managing the reactions to change in a government setting is extremely difficult given the complex nature of government and its deep rooted values and procedures. Unfortunately, change is frequently introduced without considering its psychological effect on others in the department – particularly those who have not been part of the decision to make the change. However, it is fair to state that if the reactions to change are not anticipated – and managed – the change process will be needlessly painful and perhaps even stressful.

Traditionally, grouped under resistance to change are inertia, habit, and comfort with the known. For most people, change isn’t actively sought; some level of routine is preferred. But routine is preferred because it enables some control. Given that change, at its onset at least, involves some ambiguity if not outright confusion, this control is threatened. That is, resistance is frequently a reaction to a loss of control, not necessarily to the change itself. The further away a person is from knowing the rationale for the change, the implications of the change, how the change is to be

operationalised, the greater the threat to that person’s control over his or her environment.

Change may also be perceived as an indictment of previous decisions and actions. It is difficult for people to change when they have been part of creating the conditions that precipitated the change. Frontline employees are frequently suspicious of change. They typically have a stake in current practices – deriving comfort from routine, and job security and influence from their know-how. They may find the prospect of change unsettling: disrupting personal and authority relationships; demanding new skills and work behaviour adjustments; jeopardising status, power, and even livelihoods in some cases. For all these reasons, employees at all levels in organisations psychologically defend against change, and reactions can be both more hostile and less predictable than the phrase “resistance to change” might imply.

For one theorist, Herbert Kaufman, there is a predictable pattern to managing change that encompasses resistance. He argues that 1) organisations require change to survive; 2) yet they always face considerable forces of resistance; 3) nevertheless, they do change; 4) but that change is always “dampened” later, with the original inertia and status quo overtaking the change – leading back to (1), when the organisations face the need to change once again. This somewhat dispirited assessment of a change process underscores the difficulty of instituting and institutionalising permanent change.

People - - - Differences

When introducing change, remember that all people are not the same. Some people:

- Make changes happen
- Want changes to happen
- Watch things change
- Don’t care what’s changing
- Don’t want anything to change
- Hope nothing changes
- Don’t even suspect anything is changing

Determine which category of people do you have and prepare a plan of action?

Diagnosing Resistance

Webster's Dictionary defines resistance as:

1. the ability of an organism to ward off disease;
2. a force that retards, hinders or opposes motion;
3. the active psychological opposition to the bringing of unconscious, usually repressed, material to consciousness.

While these are very different definitions, each leads us to valuable insights about the nature of resistance.

Organisational change efforts often run into human resistance. Every change, no matter how innocuous or even beneficial it may seem on the surface, costs somebody something (Fisher, 1995). Even changes that appear to be positive and rational involve loss and uncertainty, and some emotional turmoil. Nevertheless, individuals or groups can react very differently to change, from passively resisting it, to aggressively trying to undermine it, to sincerely embracing it.

A large part of the explanation to resistance lies in the organisational members. These people resist change as a response to real and imagined threats to their self-interest. The more investment one has in the status quo, greater is the threat of change. A threat need not be real to create resistance; it can be a perceived threat. Misunderstanding due to lack of information or inaccurate information, lack of trust in what management says, and different assessments of the same set of data can lead to resistance. In fact, resistance to change is often strongest among those in power. To predict what form their resistance might take, it is necessary for managers to be aware of the forms of resistance. Noel Tichy and Sharman (1993) have categorised resistance into three types: *technical*, *political* and *cultural*.

1. **Technical resistance** includes the more rational reasons for resisting change, such as: *Habit and inertia*: Individuals used to old ways of doing things, do not feel comfortable with new approaches. *Lack of understanding*: People may not understand implications of change and perceive that it might cost them much more than they will gain. *Difficulty in learning new skills*: Individuals are required to develop new skills and behaviour requiring people to change too much, too quickly. Even when managers intellectually understand the need for change, they are emotionally unable to make the transition. *Sunk Costs*: Individuals have invested time, attention, and energy in learning certain ways of doing things. These have to change, they may also fear that what may work today may not be tomorrow's way of doing things leaving them confused and resistant.

2. **Political resistance** arises after response to the disruption of the existing power structure and coalitions. Other common reasons for this type of resistance are: *Parochial self-interest*: This happens when individuals think they will lose something of value as a result of change. The focus is on their own best interests and not the total organisation. The political behaviour can take several forms depending upon the situation (opposing camps may publicly fight things out, going underground and undermining others' efforts in subtle ways). *Different assessments among individuals and those initiating the change*: The individuals affected by change see more costs than benefits resulting from the change, not only for themselves but for their company as well than managers who may feel a growing need for change. It is necessary to explore the concerns raised, and try to incorporate those in making decisions about the change programme. *Resource allocation*: Doing more with less makes the normal practice of resource allocation tougher. Competition for scarce organisational resource leads to political resistance to change efforts.

3. **Cultural resistance:** This results from individuals having mindsets and perspectives built up over the years. Common types include: entrenched cultural mindsets, large gap between the desired and the existing mindset, selective perception (reality perceived differently) and fear of letting go (old ways are predictable).

Selection of Strategy for Dealing with Resistance

John Kotter and Schlesinger (1979) suggest the following strategies for dealing with resistance to change

1. *Education and communication:* One of the most common ways of overcoming resistance is to communicate and educate people about change beforehand. The education process can involve one-to-one discussions, presentations to groups, or memos and reports. However, success of this strategy requires a good relationship between initiators and resisters, and the credibility/trust that change initiators enjoy in the eyes of resisters.

2. *Participation and involvement:* Participation leads to commitment. If the initiators involve the potential resistor in the design and implementation of the change, they can often forestall resistance. However, unless managed properly participation may lead to poor solutions and enormous time consumption particularly when the change has to be made immediately.

3. *Facilitation and Support:* Another way that managers can deal with potential resistance is by being supportive. It includes providing training in new skills, and emotional support. However, this approach can be time consuming and may still fail.

4. *Negotiation and agreement:* Another way of dealing with resistance is to offer negotiated incentives to active or potential resisters. However, one of the dangers in negotiations may be that it may create an impression that all aspects of the change programme are open to negotiation.

5. *Manipulation and Cooptation:* In some situations, managers also resort to covert attempts to manipulate by selective use of information and the conscious structuring of events. One common form of manipulation is co-opting or involving resisters by offering them a desirable role in the change programme. Cooption does not mean seeking advice but only endorsement. However, if people coopted feel that they are being lied to, they may respond very negatively.

6. *Explicit and implicit coercion:* Sometimes, managers are required to deal with resistance coercively. Here they essentially force people to accept change by explicitly or implicitly threatening them. However, using coercion is a risky process because people strongly resent forced change.

Role of Leadership and Change Agents

Change by definition, requires creating a new system. It demands the role of leadership to initiate, direct and control change in terms of direction and speed. The leader's role is to create an environment that fosters the kind of behaviours which support change. If the departmental top leadership gives the change programme top priority, and allocates to it a great deal of time and attention, change will succeed. By the same token, if the top management offers only lip service to change programme,

changes just won't happen (Reynierse, 1994). The role of leadership, especially at the top is probably the most critical element in a major organisational change effort. This role cannot be delegated. The top management should lead by example for the success of a change effort.

John P Kotter (1995) describes eight steps that change leaders have to follow in leading change:

- a) Establishing a sense of urgency
- b) Forming a powerful guiding coalition
- c) Creating a vision
- d) Communicating vision
- e) Empowering others to act on the vision
- f) Planning for and creating short term wins
- g) Consolidating improvements and producing still more change
- h) Institutionalising new approaches by developing means to ensure leadership, development and succession

While strong leadership is necessary it cannot by itself sustain a large-scale change. Management of change in government is too large an undertaking for one leader at the top, however competent or committed s/he may be. It needs the support and involvement of large number of change agents who believe in the cause, and are willing to provide leadership and put in the effort, with patience, determination and tenacity.

An effective change programme requires the change agent to have a skilled and orderly approach. The change agent should exhibit traits of common sense, hard work and systematic goal oriented approach. Sheperd (1983) and Rosabeth Moss Kanter (1997) provide a set of the following guidelines for change agents.

1. ***Tune up the internal drive:*** A change agent needs to get the “whole being” involved to effectively champion the change process. A change agent should also be able to keep his own mood, motivation and self-confidence high during the change process. He/She should be able to seek and support new ways to work, keep moving and trying new ideas, and find opportunities in change rather than excuses for avoiding them.

2. ***Develop relations of mutual trust and confidence:*** A change agent works with a number of people. It requires interactions to build a mutual relationship of trust and respect between members and change agents. Any fear of failure with such concerns would be minimised when members feel that the change agent knows the system, and approaches the initiative with competence and care. The credibility of the change agent gives them confidence to move ahead with plans.

3. ***Develop a systematic and thoughtful approach to problem solving:*** Change is a process of building strength through a series of actions. It involves (a) setting a clear goal that is practical, measurable, timely, and acceptable to the key stakeholders; (b) a goal needs to be broken down into a set of objectives and specific

responsibilities; (c) the change programme requires concerned organisational members to accept the change and feel committed to it; (d) it is important to have some initial success experience to build enthusiasm for the change programme which could be done if changes that are likely to encounter less resistance are initiated first.

4. ***Ensure constructive conflict management:*** For a large change programme, partners are indispensable for success. People differ in terms of objectives, background, training and professional language. To achieve the desired end, a change programme needs to build agreements that vitalise all the stakeholders. Conflicts are inevitable. Reaching agreements in conflict situations is not only logical but also an emotional experience. The focus should be to make things better, not bitter.

5. ***Learning by doing:*** As change involves uncertainty, there can be no sure formula for success. Experimentation and risk taking are inevitable. But it is important that the change agent is thoughtful and self-reflective to learn continuously from experience. A change agent has to be a reflective practitioner.

6. ***Develop a good sense of timing:*** Effective change agents learn to be sensitive to “potential of the moment”, and introduce key elements of the change at the right time. This requires spontaneity; it cannot be planned. One is more likely to capture the moment when the system is most ready to change, and relevant experiences are readily available. The point is well demonstrated in the following example of Malaysian Carpet Factory (Ramnarayan, 1996).

7. ***Create Short Term Wins – The Linchpin of a Change Initiative:*** Most governments have a vision where they want to be tomorrow. They see the promises of improved citizen service, more efficient departmental processes and lower costs of operations. Too often, however, governments find disappointment in the form of massive cost overruns, projects failure and generally unmet expectations. These are common occurrences in government change initiatives. It is not that long-term planning is inappropriate – just that economies, labour pools, technologies and the policy environment is so volatile that governments must significantly shorten their planning horizons to stay on top of the earth shifting rapidly beneath them.

The strategic focus needs to be on establishing a series of short, discrete tasks that have a high probability of resulting in victories for the department; victories defined by measurable benefits accruing to citizens and governments.

Even if you have made all the right moves to enlist employees’ support for the overall initiative, you still must convince them that the new vision and direction can deliver the goods. The trouble is a major change initiative can take years, so there is plenty of time to blow it up. That is why short term performance improvements are crucial; they are proof that the change effort can produce results that are superior to the old ways of functioning. The evidence supplied by short term wins helps overcome the fear and uncertainty that frequently accompany change. To be effective, the performance improvement has to be:

- ***Visible and unambiguous***—something that people will readily identify as genuine. Concentrate on high impact or high visibility projects that are most likely to succeed.

- *Quick* – doable in 3-9 months. But do not let the pressure to produce fast results that are of no use to the public or get into the trap to manufacture short term wins by using creative accounting or other ways of manipulating the records. These tricks usually backfire, intensifying resistance to the change effort.

Noted leadership and change management theorist John P. Kotter claims that the ability to generate short-term wins 6–9 months after the change initiative is often a good indicator of whether the initiative will succeed or not. The empirical data derived from these early projects help senior management refine strategies and timetables, thereby eliminating problems in the next phase of the initiative. Moreover, short-term win projects can help build departmental capabilities that make for sustainable high performance.

8. ***Build coalitions***: To bring about effective and sustainable change the change agent requires assembling a team of change agents. The team may consist of both internal and external members.

Change leaders need the involvement of people who have the resources, the knowledge, and the political clout to make things happen. You want the opinion shapers, the experts in the field, and the value leaders. In the early stages of planning change, leaders must identify key supporters and sell their dream with the same passion and deliberation as the entrepreneur. You may have to reach deep into, across, and outside the organisation to find key influencers, but you first must be willing to reveal an idea or proposal before it is ready. Secrecy denies you the opportunity to get feedback, and when things are sprung on people with no warning, the easiest answer is always “no”. Coalition building requires an understanding of the politics of change, and in any organisation those politics are formidable.

Change leaders need to understand that support from stakeholders is essential to the success of every change effort. Building the necessary support is often one of the most difficult challenges change leaders face. One key strategy that works effectively – and even increases the speed of change – is consciously creating a critical mass of support for the change among key people who can influence others into tangible positive action

Implementation

Developing ideas for change is at best half the battle. The ultimate test is implementation. Can proposals for change be put into effect? Does the process secure necessary commitments of authority and resources? Does the involvement of frontline employees in the generation of ideas make it easier to implement them?

The intimate role that a large number of frontline employees play in devising and assessing ideas for change clearly increases the feasibility of successful implementation. Participation disseminates information, allows fears and reservations to be explored and adjusted for, and helps create commitment to follow through.

Conclusion

The challenge of managing change in government is the challenge of managing paradoxes and tensions. It involves such things as anticipating and preparing for the unpredictable, starting to make change before it is generally perceived as needed, describing an indescribable end state, and moving those who would rather not like to be moved. It is the challenge of finding readiness and excitement amidst resistance, creating positive opportunity and growth out of threats, and ultimately developing a department that relishes change as a challenge.

The following are some useful questions every change agent needs to ask to clarify his thinking.
(The Dance of Change by Rick Ross, Charlotte Roberts, Peter Senge)

1. Why is change urgent? Are we driven by external forces? By a crisis? Or by our collective desire to create something together? Why might this effort actually matter?
2. Who wants it to happen? Who has set change as a priority? Are there clearly defined sponsors of the change effort? Are we aware of their needs and the pressures they feel? What might be the reasoning behind their requests?
3. What results do we want to produce? What, specifically, is the change we are seeking? If the change takes place, what will that get us? How will our efforts benefit our citizens?
4. How will we change? What kinds of new capabilities will we need to develop? And how will we develop them? Which aspects our current work and practices will be affected by the change? What challenges do we expect to face? And how could we prepare for them?
5. Who will be involved? Will the change initiative mean new activities for everyone on the pilot group? Should other people (inside or outside) be included?
6. Where is our support? In the organization at large, what is the reputation of our group, and of our sponsor? Will that help or hinder us?
7. What do I, personally have to do? When will the change initiative begin? What steps do I need to take, in which domain? What do I hope to learn? What skills and capabilities would I like to gain? And what do I want to do first?

"If we do not take change by the hand, it will surely take us by the throat."

- Winston Churchill

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Citizen Governance: Concept and Practice

— V. K. Parigi

Background

Over the years democracy has become “delegative”. People have left it for the elected representatives and officials to govern. Citizen is missing from governance. Democracy has become more representative than participatory. Citizen participation in governance becomes most apparent during elections. Between elections, there are a few institutional channels of citizen participation in issues of governance. The role of other institutions such as media and others becomes important.

As we look at issues relating to governance in the 21st century, the roles of both citizen and governance are undergoing important revolution. Government is seen more as one of the stakeholders than a regulator, funder and service provider. Citizen governance is to be seen beyond new public management. It brings a fundamental change in the reform process in that the importance of state apparatuses for the development and sustainability of viable societies is being de-emphasised and special attention to “governance” is now taking over the central place that has been hitherto given to “government”. The new vision is to evolve public policy through the joint effort of the public authorities and the citizens working in harmony. **Today the reinvention of the citizen is of crucial importance to public administrative practice.**

Indian Constitution and Citizen Governance

When India achieved independence from foreign rule, the people became the sovereign masters of the country. It was “we, the people of India” who gave unto themselves a constitution and provided in it space for the legislative, executive and judicial systems to function. As much as the Constitution is the creation of the people the basic constitutional values embodied in the Preamble, the fundamental rights and The Directive Principles of State Policy represent citizenship values. The role of the citizens is not to be seen as mere tax payers but as active participants evolving policies and plans and in monitoring performance of the government. **Citizen governance is meant to translate the concept of sovereignty of the people into a reality. The government is seen as an equal partner with the citizens.**

The 73rd and the 74th amendments to the Constitution of India are meant to bring in place citizen governance in the rural and urban areas through the involvement of the citizens in the vital areas of governance, economic development and welfare. The purpose of these amendments is to ensure civic engagement towards effective, efficient, transparent and accountable government.

The Concept of Citizen Governance

Democracies are weak without citizen governance. Citizen governance is value based and thus must be construed within civil society organisations and leaders should examine their own political context and vision for change. The concept of citizen governance is young and to sustain it government at all levels needs to learn to work in different ways within a new culture. This will require the removal of walls that have divided the bureaucracies of the government and the citizens.

Civic engagement is defined as active participation and collaboration among individuals, government and the private sector to influence and determine decisions that affect the citizens. The mere existence of civil society organisations or a formal dialogue with them will not ensure citizen governance. Unless the government is open to listen to the citizen groups and involve them in the governance process no tangible benefits will flow to the society from citizen governance.

Elements of Effective Citizen Governance Model

Citizen governance increases the democratic content of government and provides opportunities for citizens to take interest in public affairs. The three elements of the governance model are citizen engagement, performance measurement and government policy and implementation.

Citizen engagement refers to the involvements of citizens, using the term “citizens” in the broadest sense to include individuals, groups, non-profit organisations and even business corporate citizens. Private organisations are included primarily in the sense of their participation for public purposes rather than only to protect narrow private interests. In this view, citizen engagement in a community is best when it is broad, inclusive and representative of citizens.

Performance measurement refers to the development of indicators and collection of data to describe, report on, and analyse performance. Measurement can be applied to the government services or community conditions. Social audit is an effective method to ensure some of these objectives.

Government policy and implementation refers to the developments of public policy decisions about issues government chooses to address, the strategies it employs, the resources it commits and the actions it takes to carry out these decisions. This element covers the full cycle of planning, budgeting, implementing and evaluating government operations.

In this governance model the citizen’s role is seen as:

1. Customer;
2. Owner or Shareholder;
3. Issue framer;
4. Co-producer;
5. Service quality evaluator and independent outcome tracker.

The first two of these roles - Customer and Owner or Stakeholder – are relatively passive roles. The other roles are roles of active engagement that usually require citizens to make a choice to become active in a sustainable way.

Citizens as Customers

Over the recent years, the application of customer service techniques to government services has been gaining ground. The core idea is that a citizen should be treated as a valued customer by the providers of public services. Citizen’s charters are an effort in this direction.

Citizens as Stakeholders or Owners

In a democracy, citizens, in addition to being customers, really are the “owners” of public services. Through tax payments, citizens are investors in public services and publicly owned assets. A key question from the owner’s perspective with respect to government performance is whether government is getting job done. Citizen shareholders may think about the question in various ways. For example, are citizen’s concerns being met by public services? Is the job being done fairly and ethically? Does the result provide value for the public money spent? In response to these concerns, citizens deserve good information offered in a format and manner that is readily understood.

Being sensitive to citizens as shareholders or owners requires that public agencies use citizen concerns and interests as one of the shaping factors to develop “owners’ reports” on public service performance. To be effective, such reports also must provide citizens comparative contexts for the performance information provided. For example, graphically summarised performance information can show comparisons with other jurisdictions, historical trends, or publicly set goals. Such comparisons can help set reasonable expectations for services as well as indicate where change is needed to improve services and conditions in the community.

Citizens as Issue Framers

There has been a major upswing at the local and state level in engaging citizens in identifying and framing issues of concern for communities to guide planning and action. Citizens can act as “issue framers” in a number of ways. Some of these are:

- **Vision builders.** Citizens may be called on to help be “visionaries” for their communities - to articulate a desirable future and broad strategies to get there – as part of community visioning and strategic planning.
- **Advisers.** Citizens may be called on to provide advice for such things as land use, budgeting, or specific services or issues. The “adviser” roles include:
 - **Community-wide Advisers.** Citizens may be called to serve on short or longer-term community-wide advisory committees.
 - **Level Advisers.** Citizens serve on ward clubs, neighborhood associations, or other groups that identify needs, recommend priorities, and attempt to obtain service adjustments and improvements within specific neighborhoods or districts.

Citizens in issue framer roles are often involved in the complex process of public deliberation to help reach public judgments big and small, often involving different stakeholders with divergent interests in the outcome of public decisions. Building a useful community vision especially requires a well-structured process of public deliberation, as community members must arrive at important public judgments about what they value, and what long-term changes they most want to see in their community.

A community’s leaders hear citizens articulate what is important and how a desirable future for their community should look. This can be a complex process involving many stakeholders, and many issues in relation to the expectations for public services, as part of the strategy to achieve a community vision.

Citizens as Co-producers of Services

Beyond being customers, owners, and issue framers, citizens and citizen groups are often asked to play an active role in actually providing or helping to provide important services, or in solving specific problems to contribute to achieving a “community vision”. Many communities now recognise that when it comes to resolving many important issues, government cannot or will not do it alone.

Productively engaging volunteers and citizen groups as partners with government can leverage public resources with citizen effort to multiply the improvement of results for communities. An example is the “Clean and Green” movement in Andhra Pradesh.

In the role of co-producer of services, with respect to government performance management, citizens and citizen groups may become partners in the enterprise of improving both the public and nonpublic parts of service delivery to address community concerns. They may develop greater awareness of what constitutes quality in a public service and quality of life in the community, of how complex or simple it is to produce the desired service outcome, and of barriers and opportunities on the path to achieving desirable community outcomes.

Citizens as Service Quality Evaluators

Citizens can also act as partners in efforts to improve public services by assessing the performance of public services. Acting as “customers”, citizens sometimes evaluate services simply by filling in a reply after receiving a public service. As more deeply involved customers, citizens may become engaged in survey research or focus groups. At a still more involved level, citizens may become “evaluators” if they are trained as service quality raters to directly assess the performance of public services—such as PHCs, transport, electricity, water and so on.

Having citizens rate services can also build trust among residents about government’s effort to measure its performance and satisfy the citizenry it serves. Engaging citizens in this way can lead to a more interested and informed community. The use of volunteer or citizen group assessment of the performance of public services can also stretch limited resources for measuring performance.

The role of citizen as evaluator may be distinguished from that of citizen as customer in several ways. In the role of evaluator, the citizen is much more engaged in gathering data or in analysing and interpreting reports of public service performance. For example, these evaluations can involve being active data collectors, as in doing “trained observer” ratings of a neighborhood or facility, “knocking on doors” to gather data from organisations, or surveying one’s neighbors about needs or issues. This role can also include citizens interpreting performance data they collect. They might also interpret and evaluate data collected by others in the performance reports provided to citizens. In sum, the role of evaluator is much more active and result oriented than that of customer.

Citizens as Independent Outcome Trackers

In a number of communities, citizens have been involved in community and regional improvement independently of government. Citizen groups have established sets of desired outcomes for their community and established systems to track and publicise

the results of these outcomes. These groups follow various themes, such as “healthy communities”, “quality of life”, and “sustainable communities”.

What is different about the private, citizen-based groups we refer to as “independent outcome trackers” is that they tend to track a broad range of issues with a community or regional outcomes focus. They are not narrowly focused on a particular interest or viewpoint as are most traditional interest and advocacy groups. While certain values may be implied by an interest in community sustainability, for example, such as environmental conservation, sustainability groups tend to look beyond environmentalism to consider economic and social conditions, as well.

Building Knowledge and Capacity of Citizens

If citizens are asked to participate in public decision processes, and if they are to be provided with performance information and expected to make intelligent use of it, it helps if they are provided with contextual knowledge and some level of training or technical assistance to help them participate wisely and effectively. The experience of the communities that have involved citizens in identifying priority issues and developing goals and performance indicators confirms that citizens can participate intelligently in these processes without having the years of technical knowledge and expertise that can be expected of service managers. However, the more deeply citizens are involved in these processes, the more important it is to help them develop their capacity to understand issues, work with performance data, and make good choices.

Six Ways to Initiate and Sustain Effective Citizen Governance

Local Government and Community Action Citizen Governance

Citizen governance must begin at the Panchayats and avenues must be created for their participation and community action delinked from politics. The 73rd amendment to the constitution of India has laid out a road map in this direction for the local government bodies.

Build momentum in the community

We need to stimulate involvement of citizens to the point where it builds upon itself: Once a broad base of citizens is involved in a process, and they see that the process is useful and it is in their interest to maintain, the process can take on a life of its own.

Partner

Involve community-based organisations, and, where applicable, multiple government entities to help build a collaborative community culture—participation by private, usually community-based organisations, is helpful to build a collaborative community culture, and can help sustain measurement and involvement practices when government interest might otherwise lag.

Fund and sustain

Develop resource streams to initiate and then to maintain efforts over time. Depending upon the local setting, support can come from government, business, non-profit organisations, local foundations, universities, or from a combination of sources.

Leverage learning opportunities

Use peer and professional influence and frameworks of “good” and “promising” practices to advance widespread implementation.

Maintain citizen pressure and support

Citizens play an important role in demanding and achieving good performance. Finally, citizens are a vital force to shape the responsiveness and quality of government in their community. Apathy and indifference in the community can breed apathy and unresponsiveness in the government and vice versa. Active, concerned, and involved citizens can do much to prevent and dispel this negative cycle.

Why Strive for Citizen’s Participation?

Citizen’s participation is both an end in itself, and a means to an end. Citizen participation is a long promised but elusive goal, limited by access to information and by an incomplete understanding of as to how government works.

Men and women have a right to take part in making decisions that affect their community. This is because it affects their own development and future. In mainstream models of local government, citizens delegate community management and development to politicians and specialists. Direct participation can be seen as an aspect of citizenship, a matter of people having access to information and policy-making processes, as well as to the full range of their society’s decision-making processes.

The purpose of citizen participation is to:

1. To be heard in a meaningful way, to be treated as if their opinions and information mattered;
2. To influence problem definition as well as proposed policies;
3. To work with administrators and policy makers to find solutions to public problems;
4. To have an equal force in the policy process.

A means to an end

People’s participation can improve governance by making it more:

- Transparent
- Coherent , accountable
- Effective
- Efficient

Citizen Governance is about responding to people’s needs and demands. Involving the people themselves in identifying these needs and demands, and in designing policies and programmes to meet them, is an excellent way of doing this. Citizens’ participation can be considered as a means of achieving better governance.

Stages and Levels of Participation

Stages

One way to characterise participation is to identify the stage or phase of the process in which citizen participation is sought. The following stages have been identified:

1. *Problem identification*: investigation and discussion aimed at identifying the root cause or the most important aspect of a problem or issue.
2. *Problem analysis*: analysis of the context and factors influencing the issue or problem, followed by the development of possible interventions and/or policies.
3. *Policy preparation*: examining the feasibility of various policy options and identifying potential.
4. *Policy design*: choosing the optimal policy option, followed by refining and concretisation, so that it can be put into practice.
5. *Policy implementation*: putting the chosen policy into practice.
6. *Monitoring, evaluation and follow-up*: supervising implementation, gathering feedback on the effectiveness and efficiency of the chosen measures, and adjusting policies, plans and implementation in accordance with the feedback, in order to ensure sustainability.

Levels

During any of the above stages, different levels of citizens' participation are possible. The lowest level is that of merely being informed. At the other end of the scale, the highest level is being fully responsible for managing a process. These are the levels that have been identified:

1. *Resistance*: active opposition from the people concerned.
2. *Opposition*: this can mean several things. First, the formal role played by political parties that are not in government in controlling and influencing the parties and policies of these governments. Second, the actions that citizens and/or civil organisations take to protest against and change policy decisions and other governmental measures. Lastly and more generally, the term can also refer to all processes and mobilisations of people / factions / parties to protest, question and try to change decisions or measures inside or outside organisations.
3. *Information*: understood here as a one-way communication to stakeholders.
4. *Consultation*: This is a two-way communication. Stakeholders have the opportunity to express suggestions and concerns, but without any assurance that their input will be used, or used in the way they intended.
 - a) *Consensus-building*: stakeholders interact with one another and discuss various options, with the objective of agreeing negotiated positions that are acceptable to all.
 - b) *Decision-making*: citizens are directly involved in making decisions and share responsibility for the resulting outcomes.
 - c) *Risk-sharing*: participating citizens are personally implicated in the outcomes, and share the risk that the outcomes might be different from what was intended. In this way, they share accountability.
 - d) *Partnership*: this level builds on the two preceding ones. Here, citizens do not only take part in decision-making and accountability, but also

participate in implementing decisions on a basis of equality with other stakeholders.

- e) **Self-management:** citizens autonomously manage the matter at hand, thus carrying full responsibility and accountability. This is the highest level of participation.

Tools for Participation

1. **Standing Citizens' Panels:** The Panel will consist of 10 to 25 members. Members of the Panel drawn from related fields of expertise or Public concern will advise government on policy issues or make recommendations on improving the services rendered by the department, review the annual performance of the departments concerned.
2. **Round-Tables:** This concept was developed in Canada. The purpose is to bring together groups of interested parties and stakeholders to deliberate on various issues periodically.
3. **Participatory Planning Communities:** This tool can be used successfully for citizen participators right from problems identification and analysis to planning and implementation.
4. **Forums:** These are similar to round tables, but are less formal and less engaging than round-tables.
5. **Public Hearings:** Public hearings enhance citizen participation. Hearings have the explicit aim of soliciting people's opinions and reactions to proposals, with the intention of taking this feedback into account.
6. **Citizen/Community Outreach:** This is a popular way of motivating citizens to participate by arranging lunch, parties or events where citizens want to give suggestions, ideas or express support to the initiatives of the government.
7. **Citizen Committees:** A committee with 8 to 10 concerned citizens may be formed for each department, which helps the government in policy making, implementation etc.
8. **Joint Project Teams:** Project teams represent intensive interaction. They enhance citizen participation. Administrators should delegate powers to project teams to allocate funds and manage complementation.

Barriers to Participation

We must move from public administration to public service. We need to create settings for participation that are open and welcoming rather than intimidating. The following are viewed as barriers to participation:

1. A disconnected administration which prevents or restricts dialogue ;
2. Politics of power.
3. Centralisation as compared to decentralisation;
4. Endless stream of regulations;
5. Ineffective or insufficient policies and services;
6. Citizens viewed as passive recipients of governmental services rather than active agents who could work with administrators to deal meaningfully with their problems.

Administrators must balance governance needs and citizen involvement. The key is to distinguish between administrative routine where expertise counts and public policy decisions that affect life. The role of the administrator must change from that of an expert to facilitator.

Qualities required to be imbibed by Administrators

1. Humanise: frame issues in human terms.
2. Collaborate: encourage citizen participation.
3. Strategise: use citizen governance and perspectives to evaluate the delivery of public services, encourage citizen feedback.
4. Organise: make space for citizens' groups, welcome results of collective efforts by citizen groups.

Developing a Culture of Public Participation

Our responsibility is to engage citizens. However, we tend to hear things we want hear and we have to be willing to hear what we do not want to hear. We have to do this quickly if citizen governance is to be effective. A large population is disengaged merely because they have the perception that the government does not listen. Therefore administrators need to develop skills critical to citizen participation.

10 Skills Critical to Citizen Participation

1. Active listening
2. Creative conflict
3. Mediation
4. Negotiation
5. Political imagination
6. Public dialogue
7. Public judgment
8. Appreciation of citizen's view point
9. Evaluation of reflection
10. Mentoring.

It is important to create spaces for dialogue and to ensure that administrators listen to the citizens and respect their views. Active administrators were found to have the following behavioural attitudes when dealing with citizens.

1. See citizens as citizens;
2. Share authority;
3. Reduce personnel and organisational control ;
4. Trust in efficacy of collaboration;
5. Balance experimental with scientific and professional knowledge.

Enabling Factors for Citizen Governance

Ensuring public access to government information, transparency, conducting public hearing and referenda and involving civil society to monitor government's performance in areas such as accountability, cost effectiveness an information sharing enable citizen governance.

Developing a culture of civic solidarity wherein all stakeholders treat each other on the basis of respect and acceptance of diversity of opinion is important. There is a need to establish the legal authority for civil society to participate effectively in governance.

Capacity Enhancement

There is a view that the average citizen lacks the understanding and capacity to participate in policy review and micro decisions relating to administrative matters and issues of governance. There is a need to build competency among the civil society groups, individuals and organisations at the local, district and national level in these areas.

Building Networks

Citizen participation means co-management, community management, self governance and looking at citizens as owners. To achieve this goal, administrators should build networks with citizen organisations, neighborhood groups, public interest groups, voluntary organisations, professional groups and activist individuals. All government departments should scout for locating these groups in the geographical areas they function.

Citizen Governance Index

How to judge that governments are implementing / encouraging / supporting citizen governance in their states? The citizen governance index calculated with weightages given for the following indicators will help in arriving at the index. The indicators are:

1. Information access to citizens that is easy to obtain, reliable, multi channel;
2. Level of participation of citizens;
3. Degree of participation;
4. Degree of participation of different sections of the society and gender equality;
5. Partnership built by the government with the civic society;
6. Capacity building programmes conducted by the government for the administrators and citizens for developing skills, tools and knowledge in citizen governance;
7. Use of new and creative methods in citizen governance and participatory processes;
8. Citizen out reach programmes to open up new and multi avenues for citizen participation.



A Citizen Governance Model

Characteristics of a Governance Model that is sensitive to a community's needs:

- **Accessible**
Citizens will have easy access to the elected and staff decision makers who are responsible for services.
- **Accountable**
Elected and appointed officials will owe responsibility to the public.
- **Inclusive**
The community will be recognised as an important component of decision making.
- **Representative**
Citizens will be fairly and democratically represented.
- **Comprehensive**
All government functions and services will be addressed; services will be delivered at a level communities believe to be appropriate; clear and logical responsibility for service-delivery will be identified; voluntary citizen participation will be acknowledged.
- **Comprehensible**
It will be easy to understand who does what.
- **Cost-effective**
Appropriate quality service will be delivered efficiently and in a manner that makes citizens feel they are receiving a reasonable return on their tax money.



Are We Ready for Citizen Governance?

There are certain pre requisites to be fulfilled by governments before they can initiate programmes for citizen governance. Citizen governance needs basic edifice to build on. Governments must ensure that the following are in place for citizen governance to take off:

- 1. Citizen friendly ambience is government offices:**
Citizens' information desk, "May I Help You" counters, & Citizen Reception Centers should be managed by staff who show physical willingness to serve.
- 2. Courtesy and Helpfulness:**
Citizens visiting government offices should be treated with courtesy and offered helpful and timely service.
- 3. Availability and accessibility of public officials**
Officers should be available during the working hours or during the timings ear-marked for public interviews. Availability and accessibility also means availability on telephone. Citizens should be able to get routine information on phone without the need to visit government offices.
- 4. Feedback:** There is a need to put in place a feedback system to measure citizen's satisfaction of the services rendered by the government departments.
- 5. Willingness to listen to citizens and act**
Government must show enthusiasm in holding a dialogue with individual citizens, activists and groups and act on their suggestions.

Judged on the above indicators on a scale of 1 to 10, if the departments score a rating of 5 and above, we may then say that they are ready for citizen governance.

The challenge to citizen governance comes from structural constructs, politics, laws, centralisation, tight institutional frameworks and fiscal measures and bureaucrats who are unwilling to consult and involve citizens in policy making. Government will have to remove these hurdles so that citizen governance becomes an enabling mechanism to ensure that public goods and services are more accessible to vulnerable sections of the people.

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The Nuts and Bolts of Citizens' Surveys

—Vivek Misra

The most powerful weapon on earth is public opinion - never forget that.

Paul Crouser

1 Introduction

In old times and new, 'Governance' has been the subject of much interest and debate. Be it the 'Arthashastra', the model Greek city-states, Marx's socialistic doctrine, the neo-liberal ideology or the recent Good Governance agenda – attempts have been made, time and again, to define and redefine relations between the ruler and the ruled. However, unlike earlier attempts, the latest one comes at a time when an information revolution is sweeping across the world. This holds the potential of fundamentally changing the relationship between the ruler and the ruled, or rather, the government and the citizens.

With increasing access to information and the democratisation 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 participate in the decision-making process, rather than just serve as the 'sleeping mass' in a representative democracy. In light of the 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 serve as an important tool by which the State/Government can engage citizens in the process of governance. Not only do 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 but also 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'.

While customer surveys have found an important place in the management world, top-down prescriptions have historically rendered their application to the public sector a rare phenomenon. This has been typically true of countries which have lacked a vibrant civil society. However, in recent times, the downward pressures unleashed by the twin forces of democratisation and information revolution in a fractious and competitive national/international political order have necessitated the need for the Government to use citizens' surveys in order to engage with citizens.

The growing dependence on surveys and the relative lack of knowledge on survey methodology has led to a significant demand for information on the subject. The main purpose of this paper is to supply this information in simple, non-technical language for use by Government Departments. An equally important purpose of this paper is to identify problems that may arise during development of a survey and to provide techniques and guidance for solving these problems.

The paper has four subsequent sections. The second section attempts to contextualise the role of citizens in the governance process and highlights how citizens' surveys are important within this context. The third section gives a brief description of research approaches. Given the fact that surveys fall within the broader ambit of social sciences research, it is imperative that a rudimentary understanding of basic research approaches to information gathering precede the understanding of survey research.

The fourth section is the main component of the paper. It is broadly divided into six subsections. The first subsection provides an introduction to survey research viz. the basic definitions, types of surveys and key steps involved in surveying. The second subsection details the first four steps involved in survey design namely, defining the purpose of the survey, developing hypothesis, defining the population/target segment and developing the survey plan. In the third subsection, the paper attempts to elaborate on sampling techniques and methodology. The next subsection looks at the survey instrument and suggests ways in which the effective questionnaires can be developed. The fifth subsection describes the final steps in surveying namely, data gathering, data reduction and data analysis.

The fifth and final section of the paper provides a hypothetical case study that traces every stage in the survey process and presents a list of dos and don'ts that government departments/agencies should keep in mind while undertaking a survey exercise.

Surveys involve varied and complex procedures. This paper only highlights the major information, techniques, and procedures. It has been so constructed that only a rudimentary knowledge of statistics is required. More detailed treatments of these subjects can be made available on request. Although many of the techniques and procedures covered here apply equally well to different types of survey, the primary focus is on surveys through personal face-to-face interviews which are the most common form of surveys in India. Finally, this paper should not be perceived as a do-it-yourself kit on surveys. It provides relevant information for departments to understand the basics of survey methodology. For conducting robust and accurate citizens' surveys, it is advised that they employ the services of well known research agencies that have the skill and capacity to undertake such assignments.

2 Good Governance, the Role of Citizens and Citizens' Surveys

Governance can be defined as 'the manner in which power is exercised in the management of a country's economic and social resources for development'. The nature of governance is reflected in two dynamic processes (a) the process of decision making and (b) the process by which decisions are implemented (or not implemented). Good governance is the effective implementation of policy and provision of services that are responsive to citizen needs.

Good governance has 8 major characteristics. It is participatory, consensus oriented, accountable, transparent, responsive, effective and efficient, equitable and inclusive and follows the rule of law. It assures that corruption is minimised, the views of minorities are taken into account and that the voices of the most vulnerable in society are heard in decision-making. It is also responsive to the present and future needs of society.



Characteristics of Good Governance

Citizen engagement is a core element of good governance

Government programmes and policies must be in a constant state of evolution in order to meet the public's changing needs and expectations. When a government allows its institutions to ossify, it is no longer serving the public good. Strengthening relations with citizens enables government to do just that. It allows government to tap new sources of policy-relevant ideas, information and resources when making decisions. Equally important, it contributes to building public trust in government, raising the quality of democracy and strengthening civic capacity.

To engage people effectively in policymaking, governments must invest adequate time and resources in building robust legal, policy and institutional frameworks. They must develop and use appropriate tools, ranging from traditional opinion polls and surveys of the population at large to consensus conferences with small groups of laypersons.

Citizens' Surveys assume importance in this context. Unlike in the private sector where the market mechanism and continuous customer surveys provide feedback to private sector managers, in the public sector feedback from the public comes from interest groups and squeaky wheels. Feedback from the bulk of the public or the silent majority comes only at election time and provides little guidance towards making service delivery more effective and efficient. Surveys can be used to close this feedback gap and to gauge the effectiveness of their operations, identify unmet public needs and improve service delivery.

Citizens' Surveys can enable governments in:

- Better allocation of resources: As fiscal pressures on governments have increased, setting priorities and allocating resources where they are most needed has become increasingly important. Commonly used approaches to balancing budgets may seem equitable, but in practice can shortchange citizens. Citizens may value some services more than others and they may be more satisfied with some than with others. When government managers compare the importance of various government services to the level of service satisfaction, they can create a powerful tool for making resource allocation

decisions. They can use such information as a basis for reallocating resources from services that citizens rank low in importance to those they rank higher.

- **Optimising service levels:** In addition to supporting resource allocation decisions and focusing management attention on unsatisfactory services, citizen surveys can be used to assess the levels of service governments should provide. By making such investments, a government can ensure that it is not over- or under-providing the service and can more closely match level of service to citizen demands. Although surveys cannot be used to determine the precise level of response that should be provided, they can provide valuable information on overall service expectations.
- **Performance Evaluation:** Evaluating the performance of public-sector organisations is much more difficult. No single financial indicator can be used to distinguish high-performing governments from low performing governments. When evaluating performance, public sector managers tend to focus on the volume of resources used and activities performed. Incorporating the results of a citizen survey into the performance evaluation process can present a broader, more accurate view of government services delivery.
- **Framing better policies and programmes:** The government could also obtain inputs through citizens' surveys that could enable it to make better policy and programmes. Important policy decisions that have large public ramifications may require public support. Equally important are inputs obtained from citizens' surveys which provide information on the impact of policy reforms on the public. Survey could also provide information on effectiveness of government programmes and schemes targeted at particular sections of the population.
- **Setting user fee levels:** Citizens' surveys can also determine the level at which general fund resources should subsidise services from which many residents benefit. For some services, appropriate subsidy levels may be determined simply by counting the number of citizens who receive the service and dividing by the total population. For many services, however, this method may understate the overall demand. Many residents may want certain services provided even though they themselves do not directly benefit from them. Citizen surveys can be extremely useful in determining the overall level of demand for such services and the extent to which they should be supported by general fund revenues.

There are many other uses of surveys. They could be used to examine demographic and socio-economic profiles of different target segments. They could also enable an assessment of attitudes and behaviour of voters. Surveys could also take the form of opinion polls and assess the opinion of citizens on issues of public interest.

Citizens' surveys, if effectively used, can be an important tool for citizen engagement in the process of engagement. The following sections in the paper attempt to provide a basic understanding of the nuts and bolts of a citizens' survey that government departments may find useful in their quest for greater civic engagement in governance.

3 Research Approaches to Information Gathering

It is necessary, at the outset, to provide a brief idea about research approaches. This will facilitate a better understanding and appreciation of the subject of enquiry namely, Survey Research. There are two major types of research approaches: Qualitative Research and Quantitative Research.

Qualitative research is concerned with the opinions, experiences and feelings of individuals producing subjective data. It describes social phenomena as they occur naturally. There are four major types of qualitative research design:

- Phenomenology or study of a phenomena and describes something that exists as part of the world in which we live
- Ethnography is a methodology for descriptive studies of cultures and peoples
- Grounded theory leads to development of new theory through the collection and analysis of data about a phenomenon
- Case study research is used to describe an entity that forms a single unit such as a person, an organisation or an institution

Quantitative research depends on the ability to identify a set of variables. Data are used to develop concepts and theories that help us to understand the social world. Quantitative research is deductive in that it tests theories which have already been proposed. Quantitative research can be broadly classified into:

- Descriptive or Survey research which involves studying the preferences, attitudes, practices, concerns, or interests of some group of people
- Correlational research that attempts to determine whether, and to what degree, a relationship exists between two or more variables
- Causal-Comparative research seeks to discover a cause-effect relationship between two or more different programmes, methods, or groups
- Experimental research in a form of correlational research that resembles an experiment

The table below compares the two approaches - Qualitative and Quantitative - on key dimensions.

Qualitative Versus Quantitative Research

Comparison Dimension	Qualitative Research	Quantitative Research
Type of research	Exploratory	Descriptive or causal
Purpose	Generate hypotheses	Test hypotheses
Types of questions	Probing	Non-probing
Sample size	Small	Large
Information per Respondent	Much	Varies
Administration	Requires interviewer with special skills	Fewer special skills required
Type of analysis	Subjective, Interpretive	Statistical, summarisation

Hardware	Tape recorders, projection devices, videos, pictures, discussion guides	Questionnaires, computers, printouts
Training of the researcher	Psychology, sociology, social psychology, consumer behavior, marketing research	Statistics, decision models, decision support systems, computer programming, marketing, marketing research
Ability to replicate	Low	High

4 Survey Research

4.1 Introduction

What is a Survey

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 than the mere compiling of data. To yield relevant information, the data must be analysed, interpreted and evaluated.

Types of Surveys

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

- *Mail surveys* can be relatively low in cost. The main problems, however, with this type of survey are (a) the non-response errors associated with it and (b) lack of control on the representativeness of the sample that responds.
- *Telephone interviews* are an efficient method of collecting some types of data. They are particularly suited in situations where timeliness is a factor and the length of the survey is limited. However, the sampling frame in this kind of

survey may be much smaller than the actual universe, especially in the Indian context where access to basic telephone services is limited. Further, they may not be well suited in situations where detailed information may be required.

- **Internet surveys:** A more recent innovation in survey technology is the Internet survey in which potential respondents are contacted and their responses are collected over the Internet. Internet surveys can substantially reduce the cost of reaching potential respondents and offer some of the advantages of in-person interviews by allowing the computer to show the respondent pictures or lists of response choices in the course of asking the respondent questions. The key limitation is the lack of control on the representativeness of the sample and self-selection bias.
- *In-person interviews* are the most common form in India. Though they are much more expensive than mail or telephone surveys, they enable collection of much more complex and detailed information. Furthermore, they not only allow the researcher more control over the sample population, but also, if well constructed, less sampling errors.

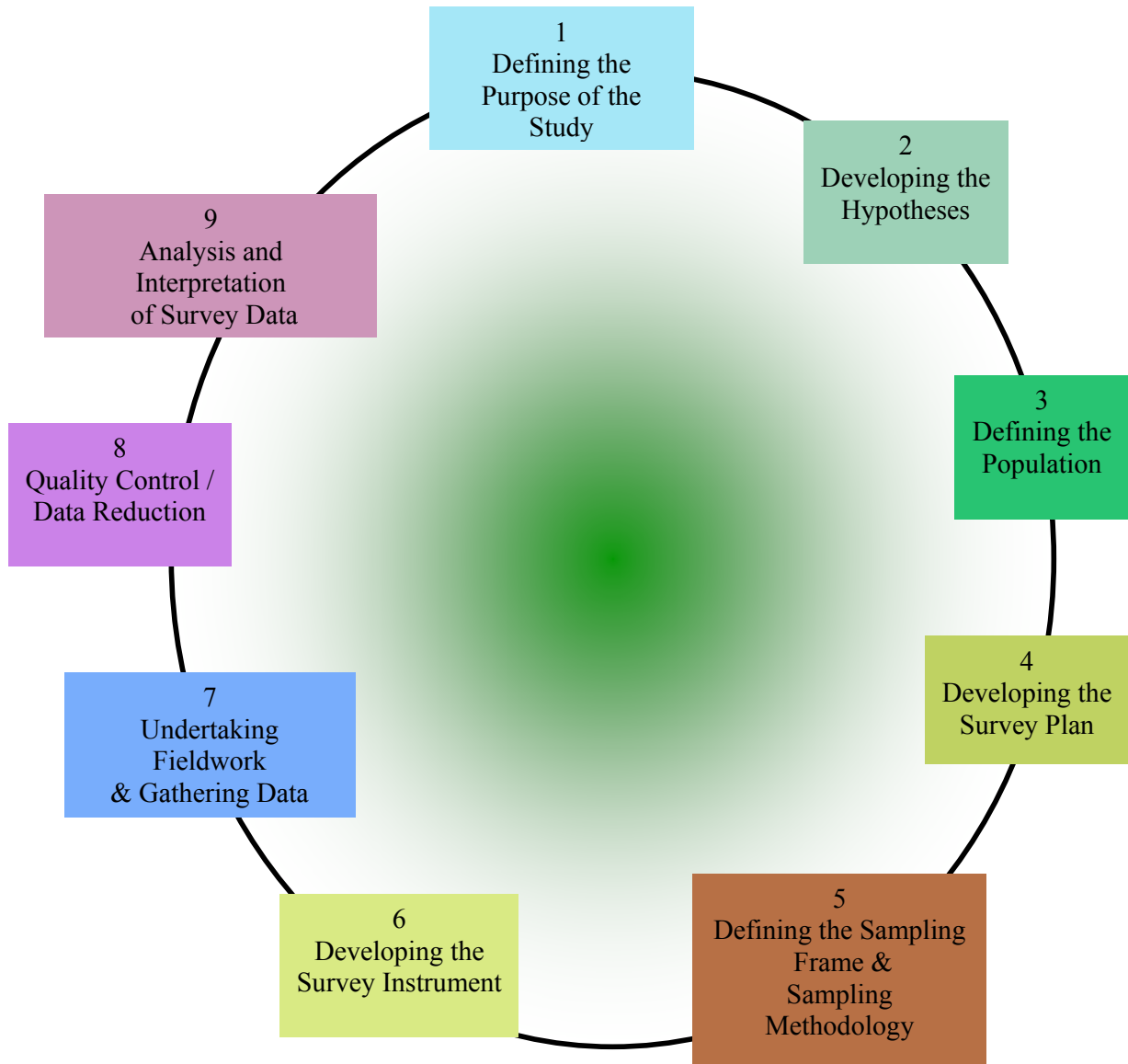
Some surveys combine various methods. For instance, a survey worker may use the telephone to "screen" or locate eligible respondents and then make appointments for an in-person interview.

In order to be effective, surveys need to be:

- ***Clearly defined*** — before beginning, you need to be able to state the goals and objectives
- ***Easily completed*** — the respondents must be able to easily understand and follow your questions
- ***Smoothly processed*** — before you can begin analysis, the data must be clean and valid
- ***Thoroughly analysed*** — to get useful, reliable results, you need to be able to thoroughly analyse your data
- ***Timely*** — the time between planning and deployment must be short enough to make a difference

Steps involved in a Survey

The following steps are involved in a survey exercise.



4.2 Beginning the 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. It is imperative, at the outset, to ensure that:

- a. the problem is well stated
- b. the stated problem is the real problem
- c. the surveyor understands exactly what the problem is

The survey should be designed to answer only the stated problem. Adding additional *interesting* objectives will lengthen and complicate the survey while clouding the real issue.

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. Without such a framework in which to make an educated guess, there is no basis for making a guess at all. If there is no clear basis for formulating a hypothesis, one should instead develop one or more objectives or questions to frame the scope of the questionnaire.

It is important, at this stage, to point out that any hypothesis must be supported by credible evidence. Using anecdotal evidence to frame hypotheses may severely compromise on the nature of the survey.

An example in this context may better illustrate the above. Anecdotal evidence may suggest that a particular scheme in X district has not yielded economic benefits for the poor due to the presence of intermediaries. Formulating a hypothesis on the basis of the anecdotal evidence available would lead one to naturally construct a questionnaire aimed at assessing the programme in this context while overlooking other aspects. In other words, establishing the hypothesis may blind you to collecting data on other possible causes of the problem. This is the reason why hypotheses must be backed by a solid base in theory or previously gathered evidence that suggests the hypothesis is, in fact, probable.

Hypotheses must also be carefully written. They should not contain moral judgments or biased statements such as "All politicians are good leaders." There are many ideas on what constitutes a good leader and one person's idea may not be the same as that of others. One needs to avoid words like should, best, good, bad, and ought.

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% approve" than whether "most approve."

A well-formulated hypothesis, objective, or research question translates the purpose into a statement that can be investigated scientifically. Without well formulated hypotheses, producing a valid survey becomes a very difficult task indeed.

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 endeavour 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, agroclimatic zones, etc.)
- demographic (ex: urban/rural, age, sex, etc.)
- socio-economic (ex: APL/BPL, monthly income/expenditure, type of housing, castes/class etc.)
- other (such as attitudinal & behavioural characteristics, etc.)

A well-defined target segment lends well to the subsequent tasks of defining the sampling frame and adopting a robust sampling methodology to reach the target segment so defined.

Step 4: Developing the Survey Plan

The next step in the survey process is construction 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 is comprised of:

- survey methodology
- data collection plan
- data reduction and reformatting plan
- analysis plan

None of these plans stand on their own – they are interlinked and interlocked with one another. How the data will be analysed had implications on the data collection plan. The type of data reduction planned will affect not only the types of analyses, but also the amount and types of data that will be needed to be collected. Given the fact that these plans are closely interrelated, they should be developed concurrently.

Survey Methodology

This involves determining the broad nature of the study. Should the study be a one time cross-sectional study or should it be done at regular time intervals? Such a decision will have implications on the eventual sample design and data collection plan.

The Data Collection Plan

The purpose of the data collection plan is to ensure that proper data are collected in the right amounts. The appropriateness of the data is determined by your hypothesis

and your data analysis plan. For example, if you plan to analyse your results by age group to test a hypothesis, then you must collect data from each age group.

As pointed out earlier, the use of sample data involves risk, and the amount of that risk is determined by the size of your sample. The amount of risk one is willing or able to accept should be stated in the analysis plan. Thus, one not only needs to collect data from some members of each group that one plans to analyse, but one also has to ensure that each group provides a response rate that is high enough to meet the minimum risk level.

The Data Reduction and Reformatting Plan

The purpose of the data reduction and reformatting plan is to identify upfront and to decrease as much as possible the amount of data handling. This plan is highly dependent on the other two plans. Proper coding of questions (both open-ended and close-ended) before the questionnaires are administered enable quick and error-free data reduction. Use of computers and statistical packages such as SPSS/SAS can be made in this regard. This function is ideally suited for outsourcing - there are numerous private agencies which can help in data reduction and reformatting. A strong potential for error and tedious corrective work lies in data reduction and reformatting. Proper care in developing this plan can save a great deal of time later and preclude error.

Analysis Plan

Finally, an analysis plan ensures that the information produced by the analysis will adequately address the originally stated hypotheses, objectives, or questions. It also ensures an analysis that is compatible with the data collected during the survey. The analysis plan determines which statistics one will use and how much risk one can take in stating your conclusions. Each of these decisions will affect the amount and type of data to be collected and it will be reduced. The most often committed error in statistical analysis is using a statistical technique with inappropriate data. A well designed analysis plan at the inception stage not only ensures robust and accurate statistical analysis but also helps save much time and effort at the data analysis stage.

One can simply approach the natural sequence of survey operations in reverse order. First determine what conclusions you are interested in; then decide what statistics and results will be needed to draw these conclusions. From this, the type of questions needed and the nature of the sample can be determined. A conscientious survey plan will help you produce a well designed survey. The *proper* data will be processed correctly and efficiently to produce the information required, and hopefully provide a solution to, the original problem.

4.3 Developing a Robust Sampling Methodology

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. Even with the perfect questionnaire (if such a thing exists), the survey data will only be regarded as useful if it is considered that respondents are typical of the population as a whole. For this reason, an awareness of the principles of sampling is essential to the implementation of most methods of research, both quantitative and qualitative.

Some key definitions:

Population: The group of people, items or units under investigation

Sampling Frame: The list of people from which the sample is taken. It should be comprehensive, complete and up-to-date. *Examples of sampling frame:* Electoral Register; Postcode Address File; telephone book

Sampling: it is the process of selecting a proper subset of elements from the full population so that the subset can be used to make inference to the population as a whole.

The Law of Statistical Regularity: A reasonably large sample selected at random from a large population will be, on average, representative of the characteristics of that population.

The Law of the Inertia of Large Numbers: Large groups of data show a higher degree of stability than smaller ones; there is a tendency for variations in the data to be cancelled out by each other.

Normal Distributions: They are a family of distributions that have the same general shape. They are symmetric with scores more concentrated in the middle than in the tails and, therefore, assume the shape of a bell-shaped curve.

Sampling and Sampling Errors

The crucial factor in making a survey successful is reducing “error.” Survey error is the term used to describe any reasons that interfere in collecting perfect results. There are two types of survey error: a) non-sampling error and b) sampling error. Both can be controlled.

Non-sampling error results from poor questionnaire construction, low response rates, non coverage (missing a key part of the market), and processing weaknesses. The other type of error is sampling error. Sampling is the process of deciding what portion(s) of your universe will be surveyed, including who and how many. The goal of sampling techniques is to reduce (or eliminate) sampling error. In the ideal world, you wouldn’t need sampling, and there would be no sampling error. One would (and could) survey all units of your population (called a census. However, if your pool of respondents is large, hard-to-reach, or otherwise problematic, the only approach is to use a sampling technique. The following chart compares the benefits of sampling and census techniques.

Benefits of Sampling and Census

Sampling	Census
Lower Cost	Greater acceptance of results
Faster	Data for entire small populations may be obtained
More in-depth analysis possible	No random sampling error

Practicality	Does not require the use of complex theory to select a representative sample or in analysing results
Greater confidentiality	Data may be reported on every segment in the population
Greater accuracy	Subtle differences become apparent

There are two basic types of sampling errors – systemic and random. Systemic errors occur when the sample selected reflects a bias, in other words, does not reflect the range of findings for the universe. Systemic error can be greatly reduced by carefully estimating the universe – what the key segments are their relative sizes. Random error is the other sampling error – and the most common. It relates directly to the size of the sample – and is basically a mathematical predictor of precision. A general rule of thumb: as sample size increases, random sampling error decreases. However, A carefully selected small sample can be more accurate than a less-carefully selected large sample.

Sampling Methodology

The basic steps in selecting a sample are as given below:

- Define the universe. 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). These factors put a limit on the survey.
- Develop a “sampling frame.” Who are the people that make up the group(s) you want to survey? In the above example, the list of all BPL households will serve as the sampling frame for sampling of households.
- Specify the sampling unit and element. What specific segment(s) will get you the information you need? Say adult members within BPL households, who may or may not have benefited from the scheme
- 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.

Types of Probability Sampling

- A simple random sample is one in which each member (person) in the total population has an equal chance of being picked for the sample. In addition, the selection of one member should in no way influence the selection of another. Simple random sampling should be used with a homogeneous population, that is, one composed of members who all possess the same attribute you are interested in measuring.
- Systematic sampling involves collection of a sample of survey participants systematically where every Kth member is sampled in the population where K is equal to the population size divided by the required sample size.

- Random Route Sampling Address is selected at random from sampling frame (usually electoral register) as a starting point. The interviewer is then given instructions to identify further addresses by taking alternate left- and right-hand turns at road junctions and calling at every nth address.
- A stratified random sample is defined as a combination of independent samples selected in proper proportions from homogeneous groups or strata within a heterogeneous population. In other words, all people in sampling frame are divided into "strata" (groups or categories). Within each stratum, a simple random sample or systematic sample is selected.
- Multi-stage cluster Sampling involves drawing several different samples. Initially large areas are selected and then progressively smaller areas within larger area are sampled. Eventually, this ends up with a sample of households.

Types of Non-Probability Sampling

It isn't always possible to undertake a probability method of sampling, such as in random sampling. In such situations, a non-probability sampling technique may be adopted.

- Purposive sampling is one in which respondents are selected by the researcher subjectively. The researcher attempts to obtain sample that appears to him/her to be representative of the population and will usually try to ensure that a range from one extreme to the other is included.
- Quota sampling is often used to find cases with particular characteristics. Interviewers are given quota of particular types of people to interview and the quotas are organised so that final sample should be representative of population.
- A convenience sample is one that comprises subjects who are simply available in a convenient way to the researcher. This could be at a crossroads, shopping mall or street corner.
- In Snowball Sampling potential respondents are contacted and then they provide information on other potential respondents with the same characteristics who are then contacted.
- Self-selection is perhaps self-explanatory. Respondents themselves decide that they would like to take part in your survey.

Determining Sample Size

There are four key considerations that determine sample sizes of a survey.

Population Size: In other words, how many people are there in the group that the sample represents? This may be the number of people in the state/district/town you are studying, or the number of BPL households or the electoral population, as the case may be. Often the exact population size may not be known. This is not a problem. The mathematics of probability proves the size of the population is irrelevant, unless the size of the sample exceeds a few percent of the total population that one is examining.

Sampling Risk: The less risk you are willing to take, the larger the sample must be. Risk, as it relates to sample size determination, is specified by two interrelated factors:

- the confidence level
- the precision (or reliability) range.

The confidence level tells you how sure you can be. It is expressed as a percentage and represents how often the true percentage of the population who would pick an answer lies within the confidence interval. The precision range (standard error) reflects the deviation of the sample estimate from the actual population value. To minimise risk, one should have a high confidence (say 95%) that the true value you seek (the actual value in the population) lies somewhere within a small interval (say + or – 5%) around your sample value (your precision).

Analysis Plan: Another factor bearing on sample size is also obtained from your analysis plan. If there are many sub-groups covered within the population, the sample size requirements may be larger than from a homogeneous population. Similarly, if the study mandates accurate reporting at a sub-group/strata level, adequate sample sizes would need to be provided at each stratum/subgroup level.

Time and Cost: Inadequate time or high costs often curtail sample sizes of a survey. In such circumstances, the confidence level of reporting and standard error of estimation are compromised.

Sample sizes can be estimated using the following formula:

$$n = \frac{NZ^2 \cdot .25}{[d^2 \cdot (N-1)] + [Z^2 \cdot .25]}$$

- **n** is the sample size
- **N** is total population size (known or estimated)
- **d** is the desired precision/margin of error
- **Z** is the value of corresponding the desired confidence level obtained from a normal distribution table (usually 95%)

The above assumes the worst case scenario where the sample proportion (p) has been assumed to be 0.5. Hence [p * (1-p) = 0.25]. This yields the maximum sample size required to report for a variable of interest at a predetermined confidence level allowing for a certain margin of error.

4.4 Developing an Effective Survey Instrument/Questionnaire

Step 6: Questionnaire Design

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. It facilitates the coding and capture of data and it leads to an overall reduction in the cost and time associated with data collection and processing.

A poorly constructed questionnaire can invalidate a robust survey design as it gives rise to non-sampling error. The key to minimising the disadvantages of the survey questionnaire lies in the construction of the questionnaire itself. Since the questions are the means by which you are going to collect your data, they should be consistent with your survey plan. The biggest challenge in developing a questionnaire is to translate the objectives of the data collection process into a well-conceptualised and methodologically sound study. Properly constructed questions and well-followed survey procedures will allow you to obtain the data needed to check your hypothesis and, at the same time, minimise the chance that one of the many types of bias will invalidate your survey results.

Questionnaire design as a task must not be seen in isolation from other aspects of survey design. A well constructed instrument must take into account:

- Survey objectives: The objectives of the survey lead to identification of areas on which information would be required which, subsequently, translate into questions to be asked to respondents.
- The type of survey: Different types of surveys may have different implications on the questionnaire. An opinion poll would necessitate more scaled responses rather than a programme assessment survey. Similarly, a beneficiary identification survey may be much shorter than a survey to assess municipal services.
- The target segment: The target segment for the survey may consist of heterogeneous groups which are differentiated in socio-economic and cultural characteristics. The questionnaire structure (and wording, in some cases) is often customised for different homogeneous segments within the population.
- The sampling methodology: The questionnaire should capture the basic strata/group codes on which the sampling methodology has been based. This enables correct weighting of the data at a later stage.
- The analysis plan: The analysis plan envisages analysis of the data along particular criteria. The questionnaire should be, therefore, constructed in a manner that conforms to the analysis plan.
- Cost and time constraints: Finally, cost and time constraints may influence the questionnaire in terms of the both the depth and the width of information to be collected.

The Art of Questionnaire Design

Firstly, the questionnaire should have a uniform structure. The questionnaire should be organised in such a way that:

- Demographic questions come at the beginning/end
- opening questions arouse interest.
- easier questions are asked first.
- general questions precede specific ones.
- similar questions are grouped together.
- personal or emotional questions should be kept to the end.

The introduction of the questionnaire is very important because it outlines the pertinent information about the survey being conducted. The opening questions of any survey questionnaire should establish the respondents' confidence in their ability to answer the remaining questions. The introduction should:

- provide the title or subject of the survey;
- identify the sponsor;
- explain the purpose of the survey;
- request the respondent's co-operation; and
- inform the respondent about confidentiality issues, the status of the survey (voluntary or mandatory) and any existing data-sharing agreements with other organisations.

Types of Questions

Before investigating the art of question writing, it will be useful to examine the various types of questions. Broadly, four types of questions are used in surveying.

- The *background question* is used to obtain demographic characteristics of the group being studied, such as age, sex, grade, level of assignment, and so forth. This information is used when to categorise results by various subdivisions such as age, income, caste, religion, etc. Therefore, these questions need to be consistent with the analysis plan.
- The second type is the *open-end question*. This type requires respondents to answer the question in their own words. The open question allows the respondent to interpret the question and answer it anyway he or she chooses and can be used to gather opinions or to measure the intensity of feelings.
- The third and most common type of question is the *closed-end question*. It is used to determine feelings or opinions on certain issues by allowing the respondent to choose an answer from the list provided. For the respondent, a closed question is easier and faster to answer and for the researcher, closed questions are easier and less expensive to code and analyse. Also, closed questions provide consistency, an element that is not necessarily associated with an open question.
- The *intensity question*, a special form of the multiple-choice question, is used to measure the intensity of the respondent's feelings on a subject. These

questions provide answers that cover a range of feelings and are usually in the form of scaled responses.

Each type of question has its own strengths and weaknesses. A good questionnaire makes judicious use of different types of questions given the nature and type of information requirements.

When writing questions, the following should be kept in mind:

- The language should be simple. There is need to avoid jargon and complex terminology.

For example: “Do you know about the impending plans for convergence of different poverty alleviation schemes?”

Better wording: “Do you know that there are plans being made to bring together different poverty alleviation schemes?”

- The frame of reference for a question should be clear.

For example: "What is your income?"

Does the word "your" refer to the respondent's personal income, family income or household income? Does the word "income" refer to salary and wages only, or does it include income from other sources? Because there is no specific time period mentioned, does this question refer to last week's income, last month's or last year's income?

- Some questions may need to state the type of response needed.

For example: Respondents are shown a bottle of orange drink and are asked, "How much orange juice do you think this bottle contains?"

The answers obtained could be much varied such as:

“One orange and a little water and sugar”

“25% orange and 75% carbonated water”

“Juice of one-half dozen oranges”

“Three ounces of orange juice”

“Full strength”

“A quarter cup of orange juice”

“None”

Better wording: "This bottle holds 250 millilitres (mL) of orange drink. How many millilitres of this drink would you say are orange juice?"

- The questionnaire should not contain double-barreled questions (a question that asks two questions simultaneously rather than one)

For example:

“Are you happy with your elected representative and will vote for him in the next elections?”

“Do you plan to leave your car at home and use public transport to work during the coming year?”

In some instances, the response for each half of the question is the same. However, many other responses could include two very separate answers which would make interpreting this question difficult.

- Loaded questions corrupt the survey findings. Hence, questions should be neutral and unbiased.

The effect of loaded questions can be gauged from the following hypothetical example.

“In your opinion, should key municipal services be outsourced to more efficient private agencies?”

Results:

83% In favour of outsourcing

14% Opposed to Sunday shopping

3% No opinion

“In your opinion, should key municipal services be outsourced to private agencies who charge higher user fees?”

Results:

62% opposed to outsourcing

32% In favour of outsourcing

6% No opinion

In both the above cases, respondents react not to `outsourcing' per se but to the perceived impact of outsourcing on them.

- Questions should not seek information that may be inaccessible from the respondents.

An item may use familiar terms but require information most respondents would not know. For instance "Is your family income above, about equal to, or below the official poverty rate?" is flawed because people are not apt to know what the official poverty rate is, making the item unacceptable for a determination of fact (although possibly acceptable for a determination of self-perception).

In addition to the above, the questionnaire should allow for the following:

- The number of questions should be kept to an optimal limit.
- The questions should be short and easy to follow.

- Questions should allow for all possible answers.
- It should include a few questions that serve as checks on the accuracy and consistency of the answers as a whole.

Pre-testing/Piloting the Instrument

This is a fundamental step in developing a questionnaire. The purpose of the pretest is to assess every key detail involved in the questionnaire design namely, the interview time, the ease of comprehension of instructions, interpretation of questions, the type of answers a stimuli evokes, interviewer/respondent fatigue, etc.

Testing helps discover poor wording or ordering of questions; identify errors in the questionnaire layout and instructions; determine problems caused by the respondent's inability or unwillingness to answer the questions; suggest additional response categories that can be pre-coded on the questionnaire; and provide a preliminary indication of the length of the interview and any refusal problems. Testing can include the entire questionnaire or only a particular portion of it. A questionnaire will at some point in time have to be fully tested.

The following is a list of some key points to think about when designing the questionnaire:

- Is the introduction informative? Does it stimulate respondent interest?
- Are the words simple, direct and familiar to all respondents?
- Do the questions read well? Did the overall questionnaire flow?
- Are the questions clear and as specific as possible?
- Does the questionnaire begin with easy and interesting questions?
- Does the question specify a time reference?
- Are any of the questions double-barreled?
- Are any questions leading or loaded?
- Should the questions be open- or close-ended? If the questions are close-ended are the response categories mutually exclusive and exhaustive?
- Are the questions applicable to all respondents?

4.5 Data Collection and Analysis

Step 7: Undertaking Fieldwork and Gathering Data

This is the first operation part of the survey process. A well designed sampling methodology must be complemented by good standards in the actual gathering of data through professionally trained investigators.

For conducting citizen surveys, government departments are advised to use the services of professional research agencies that have strong field operations and professional investigators. However, they should ensure that the process of data collection by the agencies concerned subscribes to the following:

- **Operational planning:** This is meant to serve as a roadmap for the actual survey. This incorporates resource planning in order to align manpower to the survey design and time constraints. Use of activity charts can be a useful method of planning fieldwork operations.
- **Training of investigators:** Given that most surveys in India are personal face-to-face interviews, this aspect assumes great importance. It is important for investigators, who undertake the work of interviewing respondents, to clearly understand the purpose of the survey and the target respondent. They should be aware of the reason for each question in the instrument. Investigators should also know the micro-level sampling methodology on the basis of which they would have to select the area, the household and the respondent within the household. In this regard, use of investigators who are familiar with such surveys may be an advantage.
- **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. Proper monitoring of the field teams can help to regulate and control the progress of fieldwork. Interview accompaniments and backchecks serve as an important means for ensuring good quality of interviewing.

Step 8: Quality Control / Data Reduction

Data preparation and management

The goal of the data preparation and management stage is to get the data ready for analysis. When examining a new data set, data verification and cleaning ensures that the analytical results are accurate. For example, if there is gender data in which “1” is for male and “2” is for female, the data shouldn't have “3” as a response. Using data collection software during this step can help streamline the process.

Setting up the “codebook”

During the data preparation and management step, the first step is to set up a “codebook” information, which is any variable definition information. This includes variable names, variable formats and descriptive variable labels (data such as gender or income level) and value labels (numbers assigned to data, such as “1” for male, “2” for female).

Setting up multiple-item indices and scales

Multiple-item indices and scales, which combine multiple indices into a single, multiple-item index can also be set up. This provides a more reliable measurement of interest than a single question can. This will enable better cross-tabulation and multiple-item analysis.

This stage also involves:

- (a) Transformation of data: This helps to get your data in a structure and form needed for analysis.
- (b) Filling in missing data: Replacing missing data values with estimates ensures better summary statistics.

Step 9: Analysis and Interpretation of Survey Data

Weighting of data

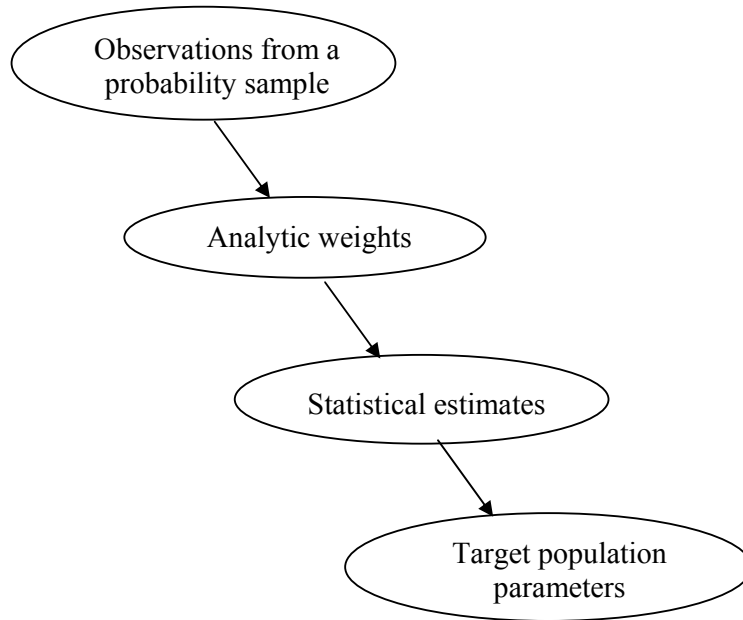
Before analysing and interpreting the data, it may be required to ‘weight’ the data. Weighting refers to the construction of a weight variable. The principal purpose of weighting is to obtain as accurate parameter estimates as possible with the chosen sampling and estimation procedures.

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. Some surveys are close to being self-weighted because they do not deliberately oversample any particular sub-group in the population but instead draw the sample in a way that each unit (individual/households) in the population has the same probability of being selected in the sample. Yet variation in response rates across different types of households/groups usually implies that weights must be calculated to correct for such variation. 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.

Accurate weights must incorporate three components. The first is the “base weights”. These account for variation in the probabilities of being selected across different groups of households as stipulated by the survey’s initial sample design. The second is adjustments for variation in non-response rates. For example, in many developing countries wealthier households are less likely to agree to be interviewed than are middle income and lower income households. The base weights need to be “inflated” by the inverse of the response rate for all groups of households. Finally, in some cases there may be “post-stratification adjustments”. The basic idea here is that some other data source, such as a census, may provide very precise estimates of the distribution of the population by age, sex, and ethnic group. If the survey estimates of these distributions do not match those given by the other, more accurate data source, the survey data should be re-weighted so that, with the new weights, the survey reproduces the distributions from the other data source.

The final analytic weights attached to each analytic file produced from a survey may contain the following factors:

- The design-based weight computed as the reciprocal of the overall probability of selection;
- A non-response adjustment factor;
- A post stratification adjustment factor;
- A weight-trimming factor



Application of Analytic Weights and Statistical Estimation

Types of Data

Nominal	Ordinal	Interval	Ratio
<p>People or objects with the same scale value are the same on some attribute.</p> <p>The values of the scale have no 'numeric' meaning in the way that you usually think about numbers.</p>	<p>People or objects with a higher scale value have more of some attribute.</p> <p>The intervals between adjacent scale values are indeterminate.</p> <p>Scale assignment is by the property of "greater than," "equal to," or "less than."</p>	<p>Intervals between adjacent scale values are equal with respect to the attribute being measured.</p> <p>E.g., the difference between 8 and 9 is the same as the difference between 76 and 77.</p>	<p>There is a rationale zero point for the scale.</p> <p>Ratios are equivalent, e.g., the ratio of 2 to 1 is the same as the ratio of 8 to 4.</p>
Ex: Gender, marital status	Ex: any ranking	Ex: personality measurements, Degrees C	Ex: Length or distance in centimeters, inches, etc.

Data Analysis

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. One is able to better understand the target segment, whether it's customers, employees or citizens, by analysing the most intimate details. Different statistical procedures are appropriate for variables depending on what knowledge is required and the level of measurement of the variable.

Broadly, analysis of data could be categorised into two types. Descriptive data analysis helps in organising and summarising data in a meaningful way. Description is an essential step before any further statistical analyses. The goals of descriptive data analysis are to (a) summarise data and (b) get an accurate description of the variables of interest. 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 primary purpose of the vast majority of sample surveys, both in developed and in developing countries, is descriptive, although there is increasing interest in making inferences about the relationships among the variables investigated. A common error, often committed by researchers, is use of inferential statistics without a robust a priori model survey design. The use of descriptive analysis is, often, underestimated - simple basic information on the variables in the form of descriptive statistics may be more valuable than complex relationships revealed through half-baked inferential statistics. This paper, while elaborating on the former, also provides a list of techniques that could be used to make inferences from the datasets.

Descriptive Data Analysis

Most citizen survey data can be used in a wide variety of ways to shed light on the phenomena that are the main focus of the survey. In almost all cases the starting point is basic descriptive statistics such as tables of the means and frequencies of the main variables of interest. The first step in any data analysis is to generate a data set that has all the variables of interest in it. Some variables may come directly from the “raw data” without any need for modification, such as the sex of the head of household, while other variables will have to be generated by transforming the raw data, such as calculating net income from farming activities by using detailed information on crop sales and purchases of agricultural inputs. Once the variables to analyse have been created and put into a single data set, the first task is to generate basic descriptive statistics that let the variables “speak for themselves”.

Any variable can be classified into one of two types, discrete variables and continuous variables. Discrete variables take only a small number of values. For example, the type of flooring in a household's dwelling can be dirt, wood, concrete, or some other type of material. Continuous variables can take an infinite, or almost infinite, number of values, such as the amount of land that a rural household may own. Methods for presenting data are different for these two types of variables.

Descriptive Data Analysis

Descriptive analysis can be done in many ways viz. the number and type of variables used to present the data.

One Variable

1. Discrete variables: Discrete variables are the simplest to display. As long as the number of values that the variable can take is reasonably small, say ten or less. One can simply display that variable in terms of the frequency that it takes each of those variables through tables, pie-charts or graphs.

2. Continuous Variables: Continuous variables can be displayed in many different ways. First, one can divide the range of any continuous variable into a discrete number of intervals and display the information in any of the ways that can be used for discrete variables. For example, the income of households, which can take an infinite number of values, could be divided into a small number of categories, such as less than Rs 2,000 per month or less, between Rs. 2,000 and Rs. 5,000 per month, etc., with the final category being more than Rs. 50,000 per month. There are different ways in which they could be displayed such as summary statistics like mean and standard deviation, minimum and maximum values. The distribution could also be highlighted through histograms.

Two Variables.

Comparing two or more variables often offers much more insight into the underlying topic of interest than examining a single variable in isolation. Yet at the same time the possibilities for displaying the data increase by an order of magnitude.

1. Two discrete variables: The simplest case for displaying the relationship between two variables is that where both variables are discrete and each takes a small number of discrete values. In a simple two-way tabulation, the values of one variable can serve as the columns while the values of the other variable can serve as the rows. There are several ways to display information on the relationship between two discrete variables such as row percentages or column percentages or table percentages.

2. One continuous and one discrete variable: Here the most common way to display the data is in terms of the mean of the continuous variable conditional on each value of the discrete variable. Another option is to transform the continuous variable into a discrete variable by dividing its range into a small number of categories. For example, it is sometimes convenient to divide households into the poorest 20%, the next poorest 20%, and so on, based on household income or expenditures. After this is done, one can use the same methods for displaying data for two discrete variables, as described above.

3. Two continuous variables: Statisticians often provide summary information on two variables in terms of their covariance or their correlation coefficient. However, such statistics are often unfamiliar to a general audience. An alternative is to graphically display the data in a scatterplot that has a dot for each observation. This could show, for example, the extent to which household income is correlated over two periods of time. Sometimes information on the joint distribution of two or more variables may be clearest if one or both variables is transformed into a discrete variable, such as

transforming income into five “quintile” categories. This is often easier for a wide audience to understand.

Three or more variables

For three variables, the most straightforward approach is to designate one variable as the “conditioning” variable. This variable will either have a small number of discrete values or, if continuous, it will have to be “discretised” by calculating its distribution over a small number of intervals over its entire range. After this is done, separate tables or graphs can be constructed for each value of this conditioning variable. For example, suppose one is interested in showing the relationship between three variables, the education of the head of household, the income level of the household, and the incidence of child malnutrition. This could be done by generating a separate table or graph of the relationship between income and child nutrition for each education level. This may show, for example, that the correlation between income and child nutrition is weaker for households with more educated heads.

Inferential Data Analysis

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
- 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.

Some common parametric tests

t-test: This is used to determine whether two means are significantly different at a selected probability level. The strategy of the t-test is to compare the actual mean difference observed to the difference expected by chance. If the t value is equal to or greater than the table value, then the null hypothesis is rejected because the difference is greater than would be expected due to chance. This test can be done for both independent samples (randomly formed) and for non-independent samples (non-randomly formed).

ANOVA (Analysis of Variance): This is used to determine whether two or more means are significantly different at a selected probability level and thus avoids the need to compute duplicate t-tests to compare groups. The strategy of ANOVA is that total variation, or variance, can be divided into two sources: a) treatment variance ("between groups") and error variance ("within groups"). If the treatment variance is sufficiently larger than the error variance, a significant F ratio results, that is, the null hypothesis is rejected.

Pearson Correlation Coefficient: To express a relationship between two variables one usually computes the Pearson correlation coefficient. It measures the linear relationship between two interval/ratio level variables. This is defined as the ratio of the joint variation of the independent and dependent variables relative to the variation in both variables considered separately. Pearson's r is always between -1 and +1, where -1 means a perfect negative, +1 a perfect positive relationship and 0 means the perfect absence of a relationship.

Some common non-parametric tests

Chi Square: The Chi Square (X^2) test is undoubtedly the most important and most used member of the nonparametric family of statistical tests. Chi Square is employed to test the difference between an actual sample and another hypothetical or previously established distribution such as that which may be expected due to chance or probability. This is a nonparametric test of significance appropriate for nominal or ordinal data that can be converted to frequencies. It compares the proportions actually observed (O) to the proportions expected (E) to see if they are significantly different. The chi square value increases as the difference between observed and expected frequencies increases.

Mann-Whitney Test: This test is a non-parametric independent samples test for the difference in central tendencies of two populations. The Mann-Whitney test is performed by combining the two data sets we want to compare and calculating their mean ranks to see if the sample data is in the correct direction. Unlike the t-test, it does not require us to assume that the dependent variable is normally distributed or even measured at interval level, although it has less statistical power than a t-test.

Kolmogorov-Smirnov Test (KS-test): This is a goodness-of-fit test for any statistical distribution. The test relies on the fact that the value of the sample cumulative density function is normally distributed. To apply the Kolmogorov-Smirnov test, the cumulative frequency (normalised by the sample size) of the observations is calculated and compared to the cumulative frequency for a true distribution. The greatest discrepancy between the observed and expected cumulative frequencies is called the D-statistic which is compared against the critical D-statistic for that sample size.

Spearman Correlation Coefficient: It is designed to measure the degree of relation for two ordinal variables. It can be used when the two variables are ranks or when either one or both variables are changed into ranks. Once the variables are converted into ranks, the same procedure as used for Pearson correlation is followed.

In addition to these tests, inferential statistics also includes many multivariate techniques. Multivariate techniques have the advantage of enabling the simultaneous analysis of two or more variables. Some key multivariate techniques and their purpose are given in the table below:

	Multivariate technique	Purpose of technique
1.	Principal component analysis	Dimension reduction by forming new variables (the principal components) as linear combinations of the variables in the multivariate set
2.	Cluster	analysis Identification of natural groupings amongst cases or variables
3.	Factor analysis	Modelling the correlation structure among variables in the multivariate response set by relating them to a set of common factors
4.	Multivariate analysis of variance (MANOVA)	Extending the univariate analysis of variance to the simultaneous study of several variates. The aim is to partition the total sum of squares and cross-products matrix amongst a set of variates according to the experimental design structure
5.	Discriminant analysis	Determining a function that enables two or more groups of individuals to be separated on the basis of multiple responses on all individuals in the groups
6.	Canonical correlation analysis	Studying the relationship between two groups. It involves forming pairs of linear combinations of the variables in the multivariate set so that each pair in turn, produces the highest correlation between individuals in the two groups
7.	Multidimensional scaling	Constructing a "map" showing a spatial relationship between a number of objects, starting from a table of distances between the objects

More information on one or more technique highlighted can be provided if it is solicited from interested departments.

All the tests highlighted can be easily done nowadays through the aid of special software packages such as SPSS, SAS, STATA, etc. However, before initiating such exercises, proper understanding of the technique, its limitations and the data requirements for the same must be ensured. The use of specialised agencies for data analysis is recommended especially in the case of citizen surveys that employ a complex survey design.

5 Case Study: A Citizen Survey on Corruption among Public Servants

This section will look at each step of the survey process through a hypothetical case study. This will enable a better understanding and appreciation of the survey process outlined in the earlier section.

Context:

The GoAP is acutely concerned about the level of corruption among public servants. It wishes to identify the departments that are perceived by citizens to be the most corrupt as well as assess the nature of such corruption. It wishes to undertake a citizens' survey for this purpose.

Given below is a step-by-step guide to how such a survey can be initiated, implemented and analysed for informed decision-making. This is simply a concise version aimed to supplement the theoretical approach with a practical example and hence has purely reference value.

Step 1: Defining the purpose of the survey

The key survey objectives could be:

Primary objectives

- to assess the incidence of corruption among public servants in their interface with citizens
- to assess the awareness among the public on specific initiatives taken by the government to combat corruption
- to identify the most corrupt departments as perceived by the citizens
- to assess the nature of corruption that citizens face in their interface with public servants of different departments viz.
 - type of corruption
 - type of officials
 - type of work concerned
 - amount paid
 - etc.

Secondary objectives

- to access the level of citizen participation in anti-corruption activities
- to access the degree and form of citizen reporting on corruption activities

Objectives should be spelt as clearly as possible. For example what does incidence of corruption mean. Is it in terms of bribes asked for by public servants from respondents themselves or in terms of respondents having seen bribes being paid by others or in terms of respondents knowing someone who has paid bribes?

Step 2: Developing the hypotheses

Each research objective lends itself to one or more hypotheses. Two key principles should be kept in mind while framing the hypothesis.

Remember: You never accept a hypothesis. You either reject or fail to reject it.

For example, suppose there is data to suggest that on an average incidence of corruption in India is 50%. The hypothesis, therefore, should be framed in a manner whereby the rejection of the hypotheses can only be done at a high confidence level (usually 95%). Otherwise, the hypothesis cannot be rejected.

Correct way

Ho: The incidence of corruption among public servants in Andhra Pradesh is higher than that in India taken as a whole i.e. greater than 50%.

Similarly, many more hypotheses can be framed on key variables of interest. Each such hypothesis, in conjunction with the research objectives, lends itself into specific information areas. Each information area would then feed into the survey instrument.

Step 3: Defining the population

Given the nature of the study, what is the target population? The research objectives must be kept in view while defining the population. In this case, it may be well advised to take all citizens (above the age of 15/18) as the universe. A tighter definition could exclude all citizens who have never interacted with any public servant.

Any decision in this regard must be made after careful deliberation given the fact that it may have implications for the outcome of the study.

Step 4: Developing the Survey Plan

Given the objectives of the study, a one-time cross-sectional design would be most appropriate. This would imply that the sample design proposed should represent all sections and the data collection plan should involve an extensive fieldwork programme over a defined time period. The findings from the study, however, will not enable pre and post analysis scenarios.

The analysis plan should ensure:

- data analysis by different demographic segments such as age, gender, urban/rural, districts, etc.
- feedback on different government departments
- composite indices of corruption based on citizen perceptions
- analysis of behavioural/attitudinal aspects

Step 5: Developing the Sampling Frame and Sampling Methodology

The sampling frame emanates from the target population definition. The electoral list that contains the names of all eligible voters could serve as a good sampling frame.

A multi-stage sampling methodology would be required for the survey. But prior to that the sample sizes need to be fixed at various levels as this would determine the confidence level of reporting and therefore the number of units to be sampled.

Suppose it is decided that the findings should be able to stand scrutiny at the district level. This implies that the accuracy of reporting should be within the desired

confidence level (say 95%) allowing for a specific margin of error (say 5%) at the district level. To fulfill this requirement, the sample sizes at the district level would turn out to be close to 400 (assuming 50% incidence of any variable of interest - the worst case scenario). Thus, the study would require a minimum of 9200 (23x400) as sample size.

This means that (a) reporting at the block/mandal level can be done only at a lower confidence level and (b) reporting at the state level would involve higher confidence and/or lesser margin of error.

Within each district, block/mandals to be covered can be stratified on the basis of any parameter thought to be fit, the assumption here being that similar blocks/mandals are homogeneous. In the absence of data to support stratification, simple random sampling of blocks/mandals can be done but this may increase sampling error.

Once blocks/mandals have been sampled, towns/villages within them would need to be selected. One could further stratify the towns/villages on the basis of population. Simple random sampling on the basis of probability proportional to sample size can be employed to sample towns/villages. The household selection within villages could be randomly done by following the right hand rule of field movement. (Different methodology may be adopted for villages). The random selection of an individual within the household for interview can be done using the random number grid.

Two key issues may be highlighted here. The number of blocks/ mandals/ towns/ villages to be sampled would depend on the sample sizes required and the minimum sample sizes required at each level as decided. Secondly, the sample sizes covered, if deviating from the proportions in the universe, will have to be weighted back.

Step 6: Developing the Survey Instrument

The information areas to be covered by the survey developed on the basis of research objectives serve as the primary basis of inputs for the survey questionnaire.

Given the nature of the study, different types of questions would need to be framed.

- Demographic questions: Questions regarding age, gender, locality, caste, etc. of respondent is important for getting two reasons. Firstly, they serve as parameters on which descriptive data analysis can be based. Secondly, it would highlight the nature of coverage and representation of the survey.
- Close-ended questions for behavioural data: These questions could be in the form of

“Have you ever bribed a government official?”

Yes:	1
No:	2
Don't Remember/Cant Say:	3

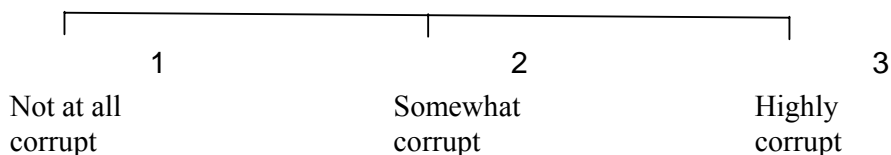
“The last time you had to bribe any government official, how many rupees did you offer as bribe?”

Between 10 to 50 Rupees: 1	Between 501 to 1000 Rupees: 5
Between 51 to 100 Rupees: 2	Between 1001 to 5000 Rupees: 6
Between 101 to 200 Rupees: 3	Between 5001 to 10000 Rupees: 7
Between 200 to 500 Rupees: 4	More than 10000 Rupees: 8

- Scaled questions: These questions would capture the perceptions of citizens on corruption. For example,

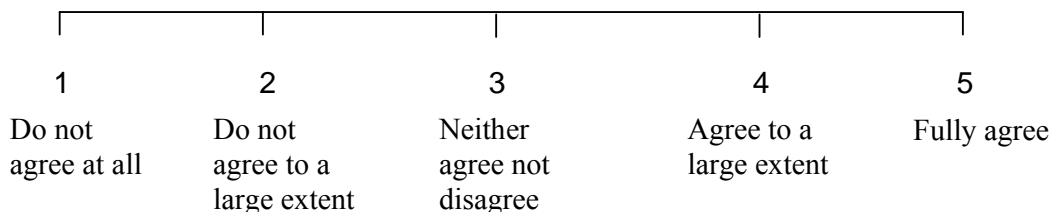
“We would like to know your opinion on corruption among public servants. To what extent, do you think, are public servants corrupt? Please have a look at this card and answer.”

“Public servants are



“To what extent do you agree with the following statements?”

“Please indicate the degree to which you agree or disagree with the following statements with the help of this card.”



Sl. No.	Statement	Do not agree at all	Do not agree to a large extent	Neither agree not disagree	Agree to a large extent	Fully agree
1.	Corruption is widespread in Andhra Pradesh	1	2	3	4	5
2.	Corrupt government officials should be dismissed from service	1	2	3	4	5
3.	Citizens should play a greater role in anti-corruption strategies	1	2	3	4	5
4.	1	2	3	4	5
5.	1	2	3	4	5

- Open ended questions: Such questions would aim to get verbatim responses from respondents. For example,

“What did you do when the government official asked you to pay a bribe?”

or

“Why didn't you lodge a complaint against the government official who asked you to pay a bribe?”

The survey instrument should be piloted before it is finalised. This would help to make changes in the length of the questionnaire, specific questions, translation, etc.

Step 7: Undertaking the fieldwork

A total of 50 investigators and 10 supervisors can be used for this purpose. They can be made into 10 teams with each team consisting of 5 investigators and one supervisor.

On an average, each investigator can conduct 6 successful interviews. Thus 300 interviews can be conducted on an average every day. A total of 30-35 days would be required for the fieldwork to be completed. An additional 7-10 days must be kept for training of investigators and traveling. The travel planning must be done in the most efficient manner such that both time and cost can be kept to a minimum.

The supervisor must backcheck at least 25% of the questionnaires in order to vouch for the authenticity of the data. Additionally, the field officer must backcheck at least 5% of the questionnaires.

Step 8: Quality control/data reduction

The coding of data must be done in an efficient manner. In particular, the open-ended questions must be examined qualitatively before the responses are coded.

Missing data should be identified at this stage. Additionally, logic checks must be put in key places to ensure that the responses are robust.

Step 9: Analysis and Interpretation

The first step here is to weight the data. It is highly improbable that a survey of this nature will be self-weighted given the fact that stratified random sampling has been employed. Thus, in order to make the sample representative of the population, there would be need to weight the data.

Weighting data must be done keeping in mind the sampling and reporting considerations. In this case, the basic unit of reporting would be the district. Hence, the data must be weighted by urban/rural proportions at the stratified units level within the district (strata of mandals/blocks) in order to reflect the overall urban/rural proportions at the district level.

The subsequent analysis of the weighted data should be as per the analysis plan. Most of the analysis is likely to be descriptive in nature viz. incidence of corruption, perception of corruption by different target segments, forms of corruption, etc. Basic inferential statistics can also be employed such as correlation tests and variance analysis.

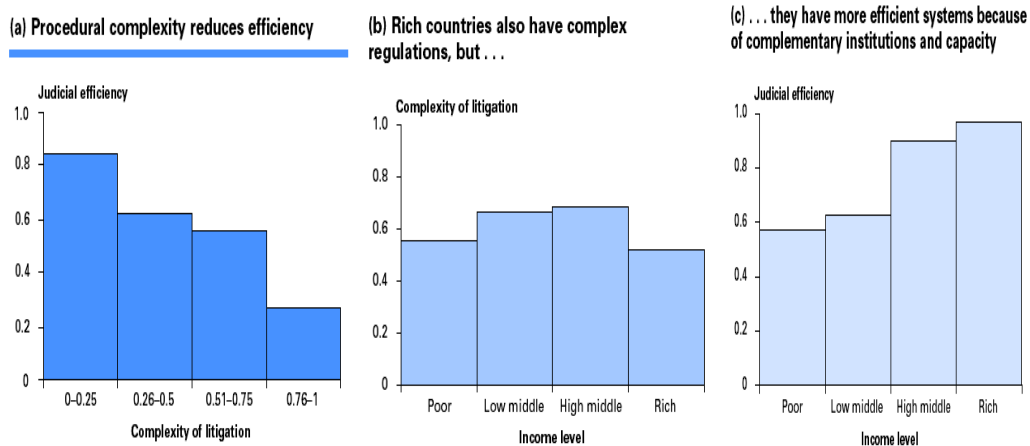
eTools for Expediting Justice: A Case Study of APAT

—D.V.L.N. Murthy and A. Vijay Krishna

Introduction

The cornerstone of Good Governance is that state institutions should become more efficient, transparent, and accountable. Good governance can prevent systems and institutions that protect the vulnerable from getting destroyed during a crisis. According to UNDP, judicial and legal reforms are crucial for good governance¹. Courts offer a means for resolving disputes in a just manner. Justice forms the basis of a lasting social order. Since every citizen looks to the judiciary as a last resort for justice and if the judiciary does not live up to this expectation, then people will take to the streets and there will be chaos in the country. Keeping in view the power and the trust vested in the judiciary, every effort must be made to bring about reforms in the judicial process so that it can meet the challenges of the 21st century.

The **World Development Report—2002** states that the efficiency of a court can be defined in terms of the speed, cost and fairness with which judicial decisions are made and the access that aggrieved citizens have to the court². The report identifies procedural complexity and complex regulations as one of the main reasons for inefficiency. It also states that these factors are likely to lead to more delays in developing countries than in developed countries. Developed countries have complementary institutions and capacity to increase efficiency, which the developing countries seem to lack. The graphs below illustrate this scenario.



Note: Higher values indicate greater efficiency (figures 6.1a and 6.1c) or greater complexity (figure 6.1b).

Source: Lex Mundi, Harvard University and World Bank. *World Development Report 2002* background project.

It has been found in several studies that introducing computer systems or other kinds of mechanisation in the judiciary helps reduce delays. Mechanised systems provide increased accountability. “Computerised case inventories are more accurate and

¹ UNDP (2002). “UNDP Priorities in Support of Good Governance,” in *Governance for Sustainable Human Development*, A UNDP policy document.

² World Bank (2002). “The Judicial System,” in *World Development Report—2002*, pp 118.

easier to handle than the paper-based procedures they replace, and more than one person can have access to them, which makes them harder to manipulate.”³ The answer to make the judicial process system more efficient and responsive might lie in introducing better technology. There is great scope for reducing arrears, lightening judicial loads and eliminating litigants’ problems through application of technology. Judiciary should take the initiative to use modern technologies in the day-to-day affairs of the court. This working paper will look at the possibility of introducing ‘e-tools’ at the Andhra Pradesh Administrative Tribunal.

Article 323-A of the Constitution created Administrative Tribunals for adjudication of disputes relating to service matters of employees in public service for the centre and other states. The outcome of this exercise is the Administrative Tribunal Act 1985.

An Act to provide for the adjudication or trial by Administrative Tribunals of disputes and complaints with respect to recruitment and conditions of service of persons appointed to public services and posts in connection with the affairs of the Union or of any State or of any local or other authority within the territory of India or under the control of the Government of India or of ¹[any corporation or society owned or controlled by the Government in pursuance of Article 323-A of the Constitution] and for the matters connected therewith or incidental thereto.

Current Reality

At present there is no online monitoring tool to keep track of the number of writ petitions (OAs) being filed and the status of replies by respondents in Andhra Pradesh Administrative Tribunal (APAT). List of new cases for admission are placed before the Chairman of the APAT at the end of the day (by 6:00 pm) for generating cause lists, which forms the backbone of the court. Another crucial problem is the lack of any file tracking mechanism to know the actual status of a case. Lot of routine work is being carried out manually every day.

The purpose of this study is to focus on areas where the court procedure can be used more efficiently with the aid of modern ‘e-tools.’ The intention is to identify the main areas contributing to litigation by carrying out an in-depth analysis and to suggest remedial measures to deal with this problem.

Number of OAs filed every year: An analysis of the category-wise contribution

The analysis is split into two levels. The first level shows individual contributions of each category every year. For each year, the category contributing to 5% or more of the inflow is taken into account. The table below shows the categories contributing to 5 % or more of the OAs filed in the APAT.

Category	1995	1996	1997	1998	1999	2000	2001	2002
Appointment	20	22	22	20	20	22	23	27
Promotion	26	23	20	16	15	19	16	16
Seniority	19	19	15	12	8	8	5	4
Absorption &	5	5	5	8	5	7	8	6

³ World Bank (2002). “The Judicial System”, in World Development Report 2002., pp 129.

Regularisation								
Major punishment	6	6	8	9	11	6	6	7
Suspension				6	5	5	7	4
Pay Fixation & Recovery					5			5
Pensionary benefits						5	5	
Transfers						8		10
Total	76	75	70	71	69	80	70	79

Note: All figures given in percentage terms

During the period 1995 to 1997, the five categories of appointment, promotion, seniority, absorption and regularisation, and major punishment contributed to the majority of OAs being filed at the APAT. From the year 1998 onwards, suspensions also contributed to more than 5% of the OAs being filed. In the period covering 1999 and 2002, another new category, ‘pay fixation and recovery’ contributed to more than 5% of the cases. However, this category is not significant throughout the sample period. Pensionary benefits are high in 2000 and 2001 and transfers are high in 2000 and 2002. Most of the pension cases are likely to be related to administrative issues and are likely to be cleared quickly. Similarly, in the case of transfers, most of the cases are related to general transfers and are likely to be disposed off quickly by the tribunal. Interestingly, transfers contribute to nearly 10% of litigations in 2002, resulting in the distortion of more important areas like seniority and suspension which drop down to 4%. However, most of these transfer cases falling under the general transfer category, which are likely to be disposed off in the first quarter of 2003, making the other two areas namely, seniority and suspensions, more significant. In general, the first five categories contribute to more than 60% of the litigations.

The second level of analysis deals with entire sample period from 1995 to 2002. Those categories contributing to more than 5% of the cases filed are taken into account.

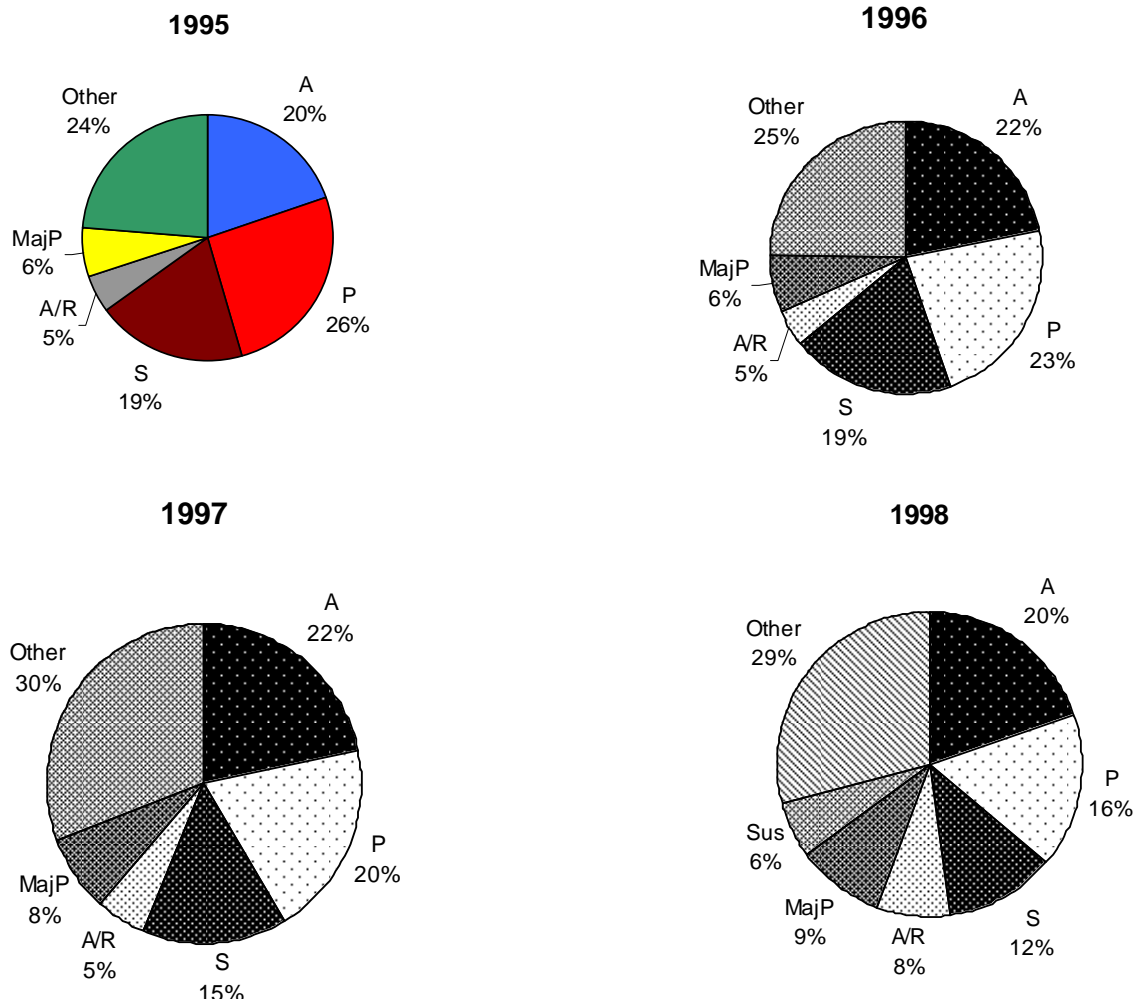
Category	1995-2002
Appointment	23
Promotion	18
Seniority	9
Absorption & Regularisation	7
Major Punishment	7
Transfers	6
Total	70%

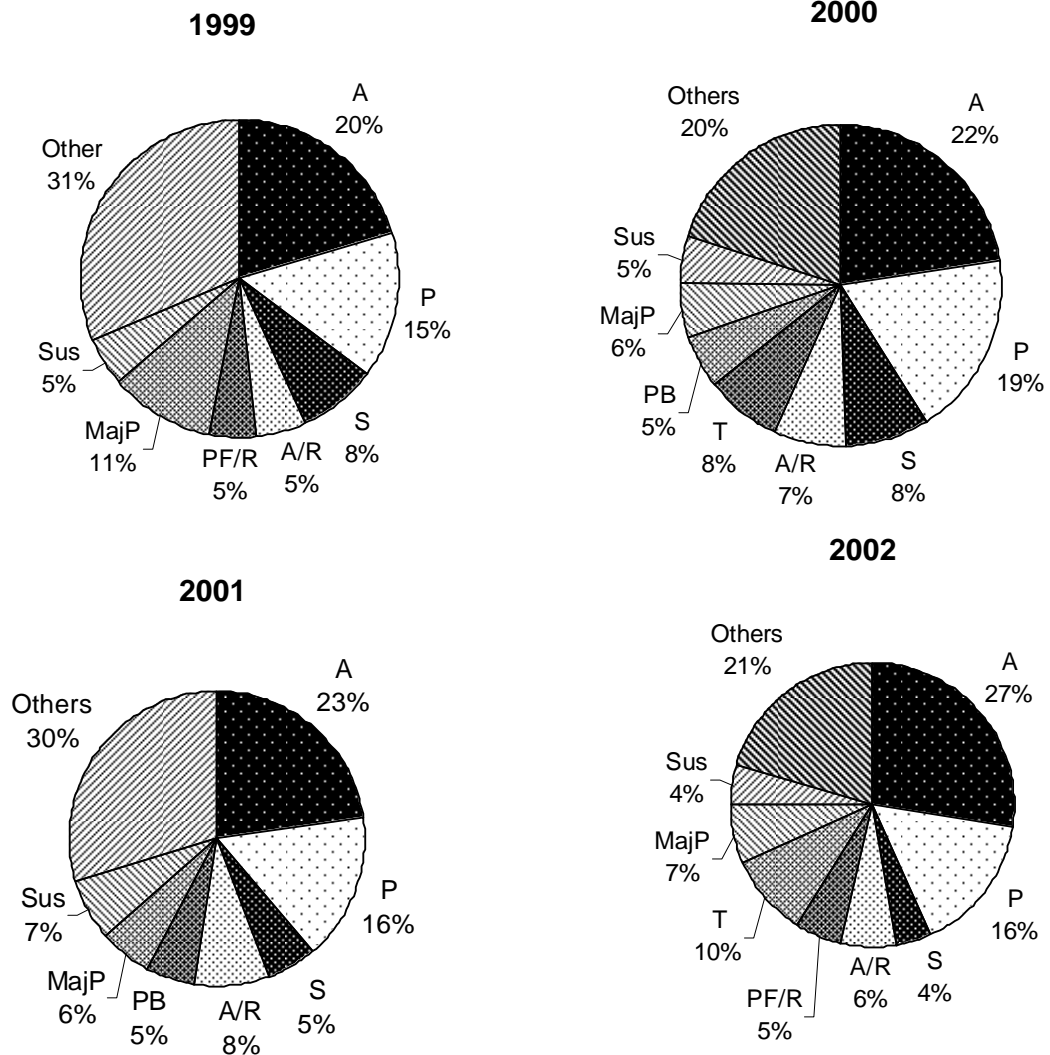
Over the entire sample period from 1995 to 2002, the six categories of appointment, promotion, seniority, major punishment, absorption and regularisation and transfers contribute to more than 70% of the total number of OAs filed in the APAT. Out of these six areas, one can discount transfers to a great extent as they are mostly cases relating to general transfers which are likely to be disposed off quickly. The other five areas have been identified as the areas which deserve special attention. This can be done by improving the existing judicial process (e.g., through introduction of technology) and also by looking into the alternatives (e.g., alternative dispute resolution mechanisms) which can be put into place to reduce the flow of OAs to the

court area. Another aspect which needs to be studied is whether the current government policy regarding the above five categories is contributing to more litigations. If this is the case, then one needs to take corrective steps to rectify the current government policy and introduce more dynamic policies which are more foolproof and litigation free.

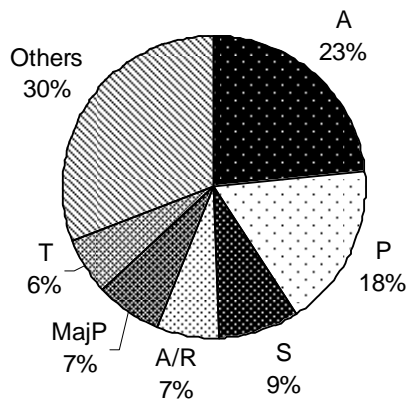
For a graphical representation of the above analysis refer to the diagrams below:

CATEGORY WISE OA CASES





Category Wise OA Cases 1995-2002



The above diagrams clearly show that the five categories of appointments, promotions, seniority, absorption and regularisation, and major punishments are contributing to the maximum amount of litigations consistently. The data does not reveal any inconsistency between the years, except that a new category of suspensions becomes more significant since 1999. Intermittently, one also observes that pay fixation and recovery and transfers are significant, albeit inconsistently. One must exercise caution while considering major punishments as one of the significant categories. The APAT (OA cases) files from 1995 to 1999 did not specify whether the punishment was major or minor in a majority of cases. Hence, it was decided to classify the punishment as major or minor on a purely arbitrary basis. Therefore, it is quite possible that some of the cases classified as major punishments belong to the minor punishment category or vice-versa. However, from 2000 onwards it was specified whether the penalty was major or minor and the above problem ceased to exist. Nonetheless, punishments as a whole are a significant contributing factor to litigations in courts.

From the above analysis the following key areas were identified for an in-depth analysis:

- Seniority
- Promotions
- Transfers
- Appointments
- Suspensions
- Penalties

The above analysis was possible due to the use of ‘e-tools’, which help not only in simplifying a process but also in analysing a current situation. The entire database of 22,000 cases was analysed. This was made possible due to the use of modern technology and statistical applications.

Use of ‘e-tools’ in admission, hearing and post admission stage

Admission Stage: Modernisation and Application of IT-an Endogenous Solution

Implementing a judicial database that makes it easy to track and difficult to manipulate or misplace cases is paramount. It can enhance accountability and consequently, the speed of adjudication.

The study revealed that by the end of December 2002, the number of cases pending in the Administrative Tribunal, which is a special service matters court, stood at 22,723 cases. The statement discloses that cases relating to year 1990 are still pending. Even contempt of court cases numbering 1,679 are also pending.

During the year 1993, the National Informatics Centre conducted a systems study of computerisation of APAT. The NIC developed a software package containing a list of business information systems which is about scheduling of cases to be heard by court on the following day. Firstly, it enabled the generation of cause lists. Secondly, Case Law information system was developed which contains a complete set of reported judgements of the tribunal. Precedence of a case can be traced by the system (however, the survey reveals that the system is not in operation). Thirdly, web

hosting of the cause list was developed. The cause lists of the APAT on the internet include daily cause list and a supplementary list. The website for accessing the cause list is <http://causelists.nic.in>. The lawyers are able to receive the cause list by 6:00 pm. It also enables access by parties, court-wise and advocate-wise.

After studying the existing system in the administrative tribunal, we adopted a result oriented managerial approach for finding solutions, the main emphasis being on productivity. A litigant government servant comes into contact with the tribunal when he/she files his original application explaining personal grievance/s and the relief sought for. In the majority of the cases, they pray for an interim relief at the hands of the judges. At present the Assistant Registrars of the tribunal receive the original applications manually and scrutinise the applications with a check list containing 28 items. After a detailed analysis, we found that the items could be reduced to 21 and filing can also be made possible by electronic tools.

The electronic case filing (ECF) system allows registered participants with internet access and necessary software to access the court's webpage from where they can have access to the ECF system. It permits filing of pleadings electronically with the documents, subject to the permission of the judges. A system can be developed for viewing official docket sheets and documents associated with the cases. Similarly, subject to the acceptance of payment of fees by credit cards, a lawyer or law firm filing a document requiring a fee can be permitted to pay by credit card. The lawyer or law firm must first establish an account with the court office. If a lawyer or a law firm files a document which requires a filing fee without first having established a credit card account, such fee must be delivered to the registrar's office before the close of the next business day. The ECF system has a unique advantage of filing of documents by a lawyer from his office. On scrutiny and acceptance by the assistant registrars after due process of checking according to the check list, a database can be developed simultaneously allotting an OA number in serial order on a first come first served basis. Simultaneous development of database and registration of OAs with numbers subject-wise enables the registry to place the whole list of OAs received in a business day by the lunch time before the Chairman of the Tribunal for allotment of business to various benches. The newly developed tool allows filing of OAs code-wise (subject-wise). The Chairman of the Tribunal will be able to bunch the cases together based on the indexing of cases developed by this method and allot work to the benches by 2:00 pm, according to their specialisation. This means generation of a cause list on the internet by 2:00 P.M. as against the present practice of 6:00 P.M. This system enables both the applicants and the respondents to prepare for the next day's hearing well in advance.

After a detailed study of the 215 areas in which service litigation is taking place, i.e., from recruitment to retirement, we have grouped them into 30 areas. The cases were bunched into these 30 categories by allotting a specific code to each category. Four computer terminals with internet access at APAT will enable the system to function smoothly. The model web pages for the above functions are shown below:

APAT-CHECKLIST-PRE-ADMISSION STAGE

Applicant's Name	<input type="text"/>		
Name of the Advocate	<input type="text"/>		
Respondent's Name	<input type="text"/>		
Email-id(if any)	<input type="text"/>		
1.OA application in triplicate with 2 file pads	<input checked="" type="checkbox"/>	Yes	<input checked="" type="checkbox"/> No
2.Full Description of cause title	<input checked="" type="checkbox"/>	Yes	<input checked="" type="checkbox"/> No
3.Court Fee Rs 50 (each applicant paid)	<input checked="" type="checkbox"/>	Yes	<input checked="" type="checkbox"/> No
i) Draft	<input type="checkbox"/>		
ii) Cheque	<input type="checkbox"/>		
iii) Credit Card	<input type="checkbox"/>		
4. Service on the other side	<input checked="" type="checkbox"/>	Yes	<input checked="" type="checkbox"/> No
5. Process Fee	<input checked="" type="checkbox"/>	Yes	<input checked="" type="checkbox"/> No
6. Subject Classification code	<input type="text" value="1"/>		
i) facts	<input checked="" type="checkbox"/>	Yes	<input checked="" type="checkbox"/> No
7.Limitations i) Rule 18 <input type="checkbox"/> ii) Rule 19 <input type="checkbox"/> iii) Rule 20 <input type="checkbox"/> iv) Sec 21 <input type="checkbox"/>			
8 i) Remedies exhausted - sec 20	<input checked="" type="checkbox"/>	Yes	<input checked="" type="checkbox"/> No
ii) Matters already filled	<input checked="" type="checkbox"/>	Yes	<input checked="" type="checkbox"/> No
9.Relief			
i)Main	<input checked="" type="checkbox"/>	Yes	<input checked="" type="checkbox"/> No
ii)Interim	<input checked="" type="checkbox"/>	Yes	<input checked="" type="checkbox"/> No
10.Mode of filling : Post <input type="checkbox"/> Person <input type="checkbox"/> ECF <input type="checkbox"/>			
11.Certificate			
i) Verification	<input checked="" type="checkbox"/>	Yes	<input checked="" type="checkbox"/> No
ii) Declaration	<input checked="" type="checkbox"/>	Yes	<input checked="" type="checkbox"/> No
12. Vokatat	<input checked="" type="checkbox"/>	Yes	<input checked="" type="checkbox"/> No
13.MA-permission petition in OA filed	<input checked="" type="checkbox"/>	Yes	<input checked="" type="checkbox"/> No
14.Material papers with index annexures duly attested by council in three sets	<input checked="" type="checkbox"/>	Yes	<input checked="" type="checkbox"/> No
15.Rule NISI form	<input checked="" type="checkbox"/>	Yes	<input checked="" type="checkbox"/> No
16. Covers and acknowledgement slips filed	<input checked="" type="checkbox"/>	Yes	<input checked="" type="checkbox"/> No

17. No. of copies for all the respondents filed	<input checked="" type="radio"/> Yes	<input type="radio"/> No
18. Certificate of filling of all forms	<input checked="" type="radio"/> Yes	<input type="radio"/> No
19. Brief facts leading to filing of MA	<input checked="" type="radio"/> Yes	<input type="radio"/> No
20. i) Contempt cases under section 17 of Act 1985	<input checked="" type="radio"/> Yes	<input type="radio"/> No
OR		
ii) Section 10 & 12 of CC Act 1971	<input checked="" type="radio"/> Yes	<input type="radio"/> No
21. Execution application under section 17 of Act 1985 in form 3	<input checked="" type="radio"/> Yes	<input type="radio"/> No
22. LR petition	<input checked="" type="radio"/> Yes	<input type="radio"/> No
23. If filed by an association:		
i) By laws <input type="checkbox"/>		
ii) Authorisation letter <input type="checkbox"/>		
iii) Registration certificate <input type="checkbox"/>		
iv) List of members <input type="checkbox"/>		
v) MA <input type="checkbox"/>		

Note the provision given for e-mail address, which enables any new developments on the case to be transmitted directly to the concerned people.

Hearing Stage – Endogenous Solutions

The study revealed that rules permit preparation of ready lists every half year, in the months of January and June. The registry has to prepare weekly lists and daily lists out of the ready lists prepared by the court offices. A ready list is a list that is fit to be presented before the bench for hearing. It pre-supposes a preparation of that list after receiving the replies of respondents and documents from the respective departments and is complete and fit in all respects for hearing by a bench. Our study revealed that cause lists running into five or six pages with more than hundred cases are listed before the benches. While the average disposal per judge per day is in the order of four to five cases, in order to enable the judicial process system to function effectively and efficiently, a systematic preparation of calendar of cases has to be prepared to reduce congestion in court halls and save the time taken for call work. Courts function only from 10:30 A.M. to 1:30 P.M. and from 2:30 P.M. to 5:00 P.M. An operative list of calendar of cases reduces the off take of call work time and enables the bench to dispose off more number of cases in the time saved.

The cause list is the backbone in the judicial process system. Listing of cases classification-wise and bench-wise (considering the expertise of a bench in a specific area) will improve the delivery system. Subject to the discretion and allotment of work by the Chairman, each bench normally handles:

1. Mention matters
2. Contempt matters
3. Admissions
4. Miscellaneous matters

5. Part heard matters
6. Final hearing

Cause List Details

Select Date ▼

The cause list is automatically generated by the system each day and a unique OA number is allotted to each case filed.

Cause List For2003-07-10

Case No	Applicant Name	Advocate Name	Respondent Name
72	ABC	XYZ	Revenue Department
73	ABC	XYZ	Revenue Department

The above frame shows the format in which a cause list will appear on a given day.

At the time of admission of new OAs, after hearing the applicant and the respondent, the bench has many options. Taking these options into consideration, the following web page was developed for communicating orders through the internet. The following is the format.

APAT-ADMISSION STAGE-COURT HALL		
OA NUMBER		CODE
<input type="text"/>	1. Admit(A)	<input type="checkbox"/>
	2. Admit with interim order(IO)	<input type="checkbox"/>
	3. Notice Before Admission(NBA)	<input type="checkbox"/>
	4. Adjourned to date(ADJ)	<input type="checkbox"/> March <input type="text" value="05"/> 2003 <input type="text"/>
	5. Dismissed	<input type="checkbox"/>
	6. Reserved	<input type="checkbox"/>
<input type="button" value="Submit Admission"/>		

At present, computers are not provided in the court hall. Since the judgement of a bench on admission matters revolves around the six areas listed above, using computers in the court hall with internet access will expedite the process of dispatch of orders and also help update the database simultaneously. Such an arrangement of the database has an added advantage as it permits retrieval and preparation of updated cause lists. The registry will be in a position to create an updated weekly list and monthly list for operation. It also meets the purpose of serving notices on both sides.

The ECF system also enables monitoring of the number of adjournments granted. Administrative Tribunal rules permit the recovery of costs occasioned by adjournments by both parties and if the rule is enforced, it will have a salutary effect on preventing the adoption of delay tactics by the litigant government servants, besides ensuring effective and expeditious disposal of cases and meeting the costs of modernisation.

Post Admission Stage-Endogenous Solutions

At present, judgements are dictated in the open court in a large number of cases and reserved in a few cases. In both these methods, judgements are dictated, typed, corrected and fair copied on typewriters and kept in sealed covers for pronouncement in the open court. A copy of the judgement is given free of cost to the applicant. The introduction of ECF makes the job of the court masters easy by allowing use of the latest word processing techniques to type judgements. ECF enables the dispatch of judgement copies to the parties a lot faster than is currently being done.

File Transaction details

ENTER FILE TRANSACTION DETAILS

CATEGORY

CASE NO.

SEND TO

comments

Public Interface with the Tribunal

Computerisation is proposed for court orders, documents, proceedings, copies of petitions, counters, rejoinders, etc., as and when required by the litigants. At present it takes more than fifteen days for the supply of certified copies. Using ECF process will reduce the requirement of manpower in the copying section and will also eliminate the manual handling of case files by the court officers as the required material can be retrieved from the system to generate a hard copy.

File monitoring system

In the APAT, file movement is an important event. After a case is registered, the case file is sent to the judicial section for placing before the appropriate bench. After hearing the arguments, the bench clerk hands over the case file along with the documents to the court master for taking dictation of judgements. After the pronouncement of the judgement in open court, the files are transmitted to the bench clerk and through him to the records section. As is well known, records and documents play an important part in the judicial process. Any misplacement of important documents at any stage hampers the judicial process. The ECF system developed by us, thus, enables the tracking of a file.

File tracking details

ENTER FILE DATA

CATEGORY

CASE NO.

DATE(YYYY-MM-DD)

SUBJECT

CURRENT INCHARGE

SENT TO

About file data**QUERY FILE DATA**

CATEGORY

CASE NO.

File data will appear in the format shown below:

Category	Case No.	Date	Subject	Status	Send To
OA	74	2003-07-11	Appointment	COURTMASTER/admit	Benchmaster

Apart from the details of the individual files, a complete list of cases filed and their movement within the Tribunal can be monitored through the record room which will contain a comprehensive database of all the cases.

Record Room Details**Report of Record room**

Category	Case no	Date	Subject	Status	Current In-charge
OA	48	2003-03-05	appointment	COURTMASTER	record room
OA	49	2003-03-06	appointment	COURTMASTER	record room
OA	50	2003-03-07	appointment	COURTMASTER	record room

Monitoring cell for Government Pleader's Office and Departments

Currently there is no monitoring mechanism in place to study the number of cases and to ascertain whether counters have been filed or not. Certain changes, as mentioned below, need to be made to the system in employing government pleaders, which should be able to tackle the problems effectively.

1. The procedure for appointment of government pleaders should envisage entering into a contract by the ministry of law with an individual counsel. The terms and conditions of contract should bind the Government pleaders about the maximum time to be taken for filling a reply after getting relevant material

- from the concerned department. He/she should also be required to inform the department of the outcome of a case on the same day in writing through fax;
2. The availability of facilities like telephone and fax should be considered a prerequisite for empanelment as Government pleader. Internet facility should be considered an additional advantage for awarding the contract;
 3. There should be a panel of pleaders who can be engaged by a department and the departments should be free to engage any of the counsels in the panel. This would help in generating competitiveness among different pleaders with consequent qualitative improvement in the defence of Government cases;
 4. A list of such pleaders indicating their office and residential address/telephone numbers, Fax number and internet address should be circulated by the Ministry of Law on January 1st each year and the ministries/departments should be informed of the changes as and when replacements/additions/subtractions are made in the list.

Apart from the above mentioned changes, the use of ‘e-tools’ will enable the departments to monitor the cases being instituted in the tribunal and enable them to file counters in time. The ‘e-tool’ will help both the judiciary and as well as the departments in monitoring cases. Certain frames are shown below which can be of value to the departments in monitoring service matter cases.

Select Year

Select Year From the List

From the above frame the department can choose all the cases pending in a particular year.

Subject wise Report for 1999

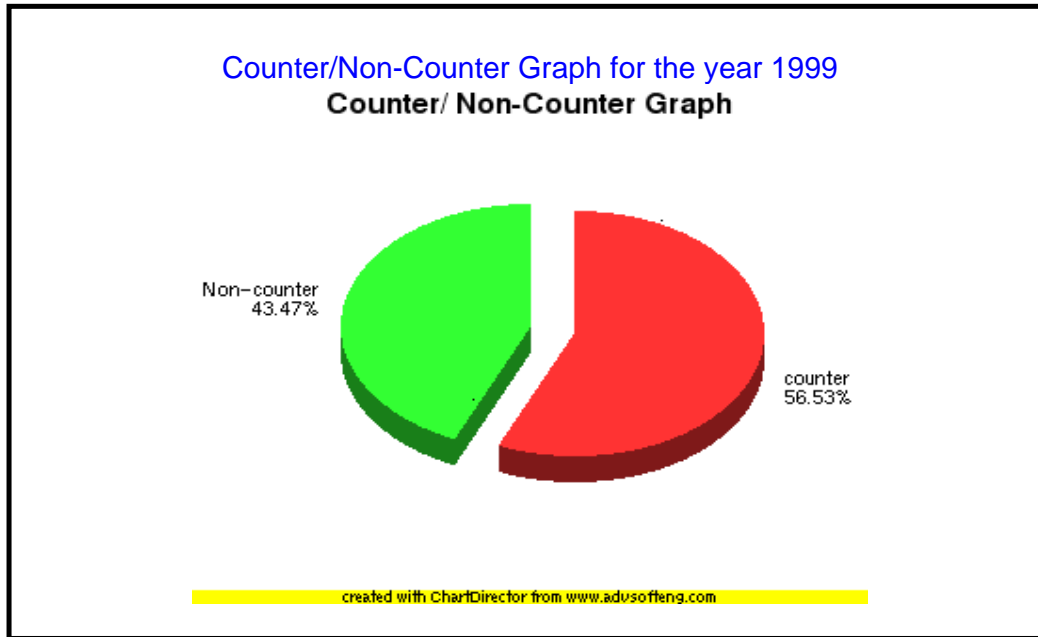
Total No of Cases 2345
Counter Filed 1324
Non Counter Filed 1018
CF/CNF Not Known 3

Select a subject from the List

[Year wise Graph](#)

[Analysis Graph](#)

Taking 1999 as a sample year, the above frame shows an overview of the total number of cases pending in the year 1999 along with the information on the number of cases where counter has been filed/not filed.



The above frame shows a graphical representation of the number of cases where counters have been filed/not filed. In spite of four years passing by, counters have not been filed in 44% of the cases.

Subject-wise Report - for Subject 2

Total No of Case = 353

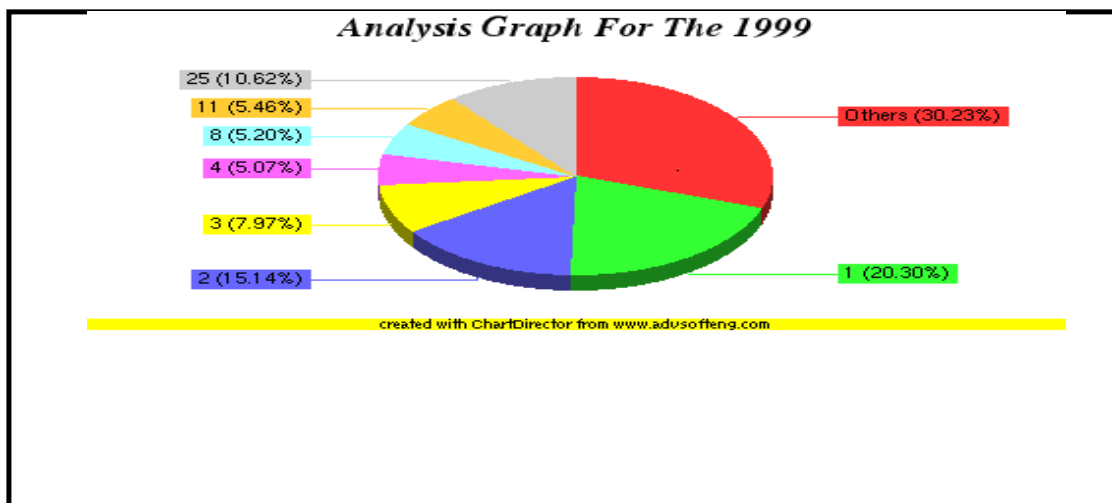
Counter Filed = 202

Non Counter Filed = 151

[View Graph](#)

OA.NO	SUBJECT	DEPARTMENT	CF/CNF
2359	Not permitting the applicant	Education	CF
2404	Promotion	Education	CF
2405	Promotion	Education	CF
2417	Cancellation of promotion	Education ZPP	CF
2446	Qng Promotion of R4	SW	CF
2756	Promotion	MPLTY	CNF
2774	Promotion	Education	CNF
2781	Promotion	Excise	CNF
2788	Promotion	Education	CNF
2829	Promotion	Cooperation	CNF

Along with a general overview on the number of pending case, counters filed/not filed, etc., one can view subject specific information regarding the counters filed or not filed. The above frame shows a sample from the year 1999 relating to the subject of promotion.



Apart from providing information on pending cases, the ‘e-tool’ is also capable of analysing the areas where the litigation is $\geq 5\%$. This enables both the judiciary and government to focus on main litigation areas and take necessary remedial measures.

Stringent application of rules reduces delay and costs

Rule 11 of the AT procedure rules deals with the various methods of service of notices and processes issued by the tribunal. If this rule is meticulously followed, no case needs to be adjourned for want of service of notice.

Rule 12 deals with filing of reply and other documents by respondents. Under this rule, respondents shall file the reply within one month of the service of the notice. Unfortunately, this mandatory rule is never fulfilled in the majority of the cases as seen from the case study. The same rule also prescribes a method of service of reply and documents on the applicant.

Rule 17 deals with the disposal of an OA for the applicants default. The rule states:

Where on the date fixed for hearing of the application or on any other day to which such hearing may be adjourned, the applicant does not appear when the application is called for hearing, the tribunal may, in its discretion, either dismiss the application for default or hear and decide it on merit.

Likewise, Rule 18 deals with ex-parte hearing and disposal of applications (OA):

Where on the date fixed for hearing the application or on any other date to which such a hearing may be adjourned, the applicant appears and the respondent does not appear then the application is called for hearing, the tribunal, may in its discretion adjourn the hearing or hear and decide the application ex-parte.

This rule gives a right to the affected party to move the court for a review of its order on production of a sufficient cause for not appearing in the court. However, Rule 9 prescribes an outer limit of 30 days from the date of the order for filing such review petitions.

Rule 21 empowers the tribunal to grant adjournment and also order recovery of costs. Although the framework of rules permits to tackle such problems, unfortunately these rules are not being put to effective and proper use. By sticking to these rules, a case can be disposed off within six months as prescribed.

Conclusion

The 'e-tool' discussed above strengthens the hands of the judiciary by enabling more effective implementation of the above mentioned rules. The software enables easy service of notice, along with filing of counters and it can also monitor the number of adjournments granted per case. It also strengthens the hand of the concerned departments by enabling them to monitor cases where counters are pending, etc. By allowing a case to be filed online it also makes the job of an applicant easier as he/she will be in a position to file a case from anywhere in the world.

Developing and implementing a judicial software package such as the one described above increases efficiency in terms of the speed, cost and fairness with which judicial decisions are made and the access that aggrieved citizens have to the court. The 'e-tool' reduces procedural complexity and enables greater use friendliness. It has been found in several studies that introducing computer systems or other kinds of mechanisation in the judiciary helps reduce delays. Mechanised systems provide increased accountability. Computerised case inventories are more accurate and easier to handle than the paper-based procedures they replace, and more than one person can have access to them, which makes them harder to manipulate. The answer to make the judicial process system more efficient and responsive might lie in introducing better technology. There is great scope for reducing arrears, lightening judicial loads and eliminating litigants' problems through application of technology. Implementing a judicial database that makes it easy to track and difficult to manipulate or misplace cases is paramount. It can enhance accountability and consequently, the speed of adjudication.

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Legislative Framework for Performance Accountability in Government

— Dr P. Geeta

Abstract

Accountability is a paramount objective of an organisation from which all other objectives flow. It refers to an agreed relationship between two or more parties, primarily on the milestones; the time period; and the resources. In the context of government organisations accountability refers to the ability to make public officials and functionaries answerable for their policies, actions and use of funds. In a broader sense it reflects the financial reporting functions for the state and local governments.

With the advent of 1990s, radical changes were observed in the political and economic climate of countries all over the world. There is an increased emphasis on performance of governments all over the world. Citizen's demand for increased accountability on government has increased considerably. People's concern about how their money is being spent and the level of service that they get for the amount of money spent has become the focus. The Government Performance and Results Act of 1993 (GPRA) of the US was a result of the frustration among taxpayers that they did not know how their money was being spent. GPRA created a new framework for more effective planning, budgeting, program evaluation and fiscal accountability. Introduction of GPRA is an attempt to improve public confidence and performance of government agencies. It paved way for management tools like strategic planning and performance measurement to ensure government accountability to its citizens.

The Andhra Pradesh Performance Accountability Bill is made on the lines of the GPRA Act of USA, which provides for the establishment of strategic planning, performance management and performance budgeting in the State Government to improve accountability and to enhance overall effectiveness. It is meant to bring about a result-focus in Government, manage performance information systems, and evaluate performance of departments, public authorities and individuals in the State of Andhra Pradesh.

“Government is famous for endless figures and forms. To an outsider, it seems like an industry that pays an enormous amount of attention to numbers. People in government are always counting something or churning out some statistical report. But most of this counting is focused on inputs: how much is spent, how many are served, level of service each person receives. Very seldom does it focus on outcomes, on results”.

David Osborne and Ted Gaebler, Reinventing Government

Section 1: Short Title, Extent, Commencement and Application

1. (1) The Act may be called as “The Andhra Pradesh Government Performance Accountability Act 2003”.

(2) It shall extend to the whole of the State of Andhra Pradesh including

- a) All Departments under the State Government and Public Authority as designated by 2 (a) ;
- b) All Semi-Government Bodies, Local Bodies, Co-operative Institutions, Public Sector Undertakings, etc., owned and controlled by the State Government; and
- c) All Organisations or Individuals receiving any form of grant or assistance or aid, whether monetary or otherwise from the Government or public funds.

(3) It shall come into force on such date, as the Government may, by notification in the Andhra Pradesh Gazette, specify.

(4) Nothing in this Act shall apply to-

- a) the High Court, and Courts and Tribunals, over which the High court exercises the power of superintendence and the Secretariat of the State Legislature and

Section 2: Performance Accountability System

2. An effective system of accountability in an organisation makes it possible to answer a few questions like:

- Which are the areas where the organisation intends to excel?
- How does an organisation plan strategically to accomplish its goals?
- How well does the organisation define its processes to achieve the goals and add value;
- What are the consecutive steps its needs to plan?
- Are the description of objectives, targets and activities of the organisation available to the public?
- Is evaluation of main activities available to the stakeholders?
- Can the public access information about the organisation and is the information online?

3. In the above context the Government shall establish a system of performance accountability in all departments, institutions, agencies, public bodies, etc. under the control of the Government or established or substantially funded by it. Accountability shall be two-fold;

Internal Accountability: Internal accountability of a department, institution, public authority or functionary shall be with reference to the internal processes and goals within the department, Government, Legislature and audit.

External Accountability: External accountability of a department, institution, public authority or functionary shall be with respect to the people in terms of fulfilling obligations and time limits, as established by the Government by regulation or order, as prescribed under rules, regulations, laws under different mechanisms such as citizen's charter, citizen service guarantee, service delivery agreement, etc. to ensure adherence to service standards and responsive delivery of services and implementation of programmes for the people.

4. In the course of discharge of internal and external accountability every public authority or functionary shall

- (a) faithfully and conscientiously perform the duties of his office without fear or favour, affection or ill will;
- (b) exercise the same vigilance in respect of expenditure incurred from public funds as a person of ordinary prudence would exercise in respect of expenditure of his own money;

Section 3: Strategic Planning

5. Strategic planning is the first step in performance accountability. Governments need to know why they provide a service, at what level they are providing it, and at what level they would like to reach. Through a strategic plan the departments can determine where it is and where it wants to go. This plan ensures that its long-term goals and mission are properly articulated.

(1) No later than March 31 of each year, every department or institution shall submit to the Appropriate Authority through the Office of Strategic Planning and Performance Management (OSPPM) its strategic plan for programme activities along with its annual performance plan and performance budget.

(2) Subject to any rules, regulation laws or guidelines that may be prescribed, the strategic plan shall be in congruence with the agenda and long-term goals of the State Government as adopted from time to time and shall contain-

- (a) a comprehensive mission statement covering the major functions and operations of the department or institution and agencies working under it;
- (b) general goals and objectives, including outcome-related goals and objectives, for major functions and operations of the department or institution and agencies under it;
- (c) a description of how the goals and objectives are to be achieved, including a description of the operational processes, skills, technology, and the human, capital, information, and other resources required to meet those goals and objectives;

- (d) what specific improvements in key work areas / processes have been planned to enhance capability to achieve desired performance levels and standards;
 - (e) a description of how the performance goals included in the annual performance plan shall be related to the general goals and objectives in the strategic plan;
 - (f) an identification of those key factors external to the department or institution and beyond its control that could significantly affect the achievement of the general goals and objectives;
 - (g) what contingency plans have been made to maintain performance and achieve goals even in an unfavorable context; and
 - (h) a description of the programme evaluations or feedbacks from different sources used in establishing or revising general goals and objectives, with a schedule for future programme evaluations and feedbacks.
- (3) The strategic plan shall relate to long-term vision of the State and cover a period of five years forward from the fiscal year in which it is submitted, and shall be updated and revised at least every three years.
- (4) While developing a strategic plan, each department or institution and agencies under it shall undertake widest possible consultation from all the stakeholders and citizen groups directly or indirectly affected by the functions of the department or institution or its agencies and shall solicit and consider their views and suggestions.

Section 4: Performance Management Framework

6. Performance Management applies to the organisation in totality. Typically, when we think of performance in organisations, we think on the performance of employees. However, performance management should focus on:

- The Organisation;
- Functions (marketing, finance, computer support, administration, sales etc);
- Processes (billing, budgeting, product development, financial management etc); and
- Programs (implementing new policies and procedures to ensure a safe workplace;

In the case of the Government performance management system needs to address issues like:

- a) set appropriate performance indicators, for each department or institution, as a yardstick for measuring performance, including outcomes and impact, with regard to the Government's development priorities and objectives set out in the strategic plan;

- b) set measurable performance targets with regard to each of those development priorities and objectives;
- c) with regard to each of each of those development priorities and objectives and against the performance indicators and targets set-
 - (i) monitor performance
 - (ii) measure and review performance at least once every quarter;
- d) take steps to improve performance with regard to those development priorities and objectives where performance targets are not met; and
- e) The performance indicators established may be reviewed and adjusted by the Government, if required, basing on quarterly, half-yearly or annual review undertaken by the Government.

Performance Management System

7. The Government shall -

(a) establish a performance management system for all departments and institutions owned or substantially financed by it. Subject to regulation or guidelines to be issued by Government, the system shall take into account –

- i) the present and likely availability of resources;
- ii) circumstantial factors and constraints;
- iii) the priorities, objectives, indicators and targets contained in the strategic plan;

(b) group the departments on the basis of similarities in nature, functions and operations;

(c) promote a culture of performance management and focus on results among its political structures, political office bearers and in its administration; and

(d) discharge its affairs in an economical, efficient, effective and accountable manner.

Performance Indicators

8. Indicators are measures towards progress/ lack of progress towards a result. Performance indicators are measurable factors of extreme importance to any organisation in achieving its strategic goals, objectives, vision and values. These indicators are required to be designed carefully so as to be in a position to:

- Indicate the progress made towards the goal;
- Provide a common framework for gathering data for measurement and reporting;
- Capture complex concepts in simple terms;
- Enable review of goals, objectives and policies;
- Focus the organisation on strategic areas; and
- Provide feedback to organization and staff.

(1) The Government shall in terms of its performance management system and in accordance with any rules, regulations or guidelines that may be issued-

- (a) set appropriate performance indicators, for each department or institution, as a yardstick for measuring performance, including outcomes and impact, with regard to the Government's development priorities and objectives set out in the strategic plan;
- (b) set measurable performance targets with regard to each of those development priorities and objectives;
- (c) with regard to each of each of those development priorities and objectives and against the performance indicators and targets set in terms of paragraphs (a) and (b) -
 - (iii) monitor performance
 - (iv) measure and review performance at least once every quarter or at frequent intervals to be prescribed;
- (d) take steps to improve performance with regard to those development priorities and objectives where performance targets are not met; and
- (e) establish a process for regular reporting of performance-related information to-
 - i) the Office of Strategic Planning and Performance Management, the Appropriate Authority and such other offices and authorities as the Government may be prescribed by rules, and
 - ii) the general public.

(2) The performance indicators established in compliance with sub-section (1) (i) may be reviewed and adjusted by the Government, if required, basing on quarterly, half-yearly or annual review or at frequent intervals as prescribed by the Government.

9. The Government may, by order, require the Appropriate Authority to -

- i) direct and manage the development of performance management system including performance indicators in departments or institutions;
- ii) assign responsibilities in this regard to the heads of departments and institutions;
- iii) obtain and analyse performance-related data of departments and institutions;
- iv) monitor and evaluate the performance management system periodically and send report to the Government for necessary action;

- v) recommend from time to time to the Government changes, required if any, in the system.

Public Participation

10. Accountability in government requires answering to the citizens on issues of financial resources and to justify the purpose for which they are used. It is based on the belief that the citizenry has the 'right to know' and right to receive information in the facts that may lead to public debate by the citizens and their elected representatives.

In order to make an organisation accountable for its activities, stakeholders must be able to determine who is responsible for its activities. Availability of information to citizenry is crucial. Citizen charters act as effective management tools for transparency and enhancing accountability in an organisation.

The purposes/dimensions of citizen participation are:

- To be heard in meaningful way, to be treated as if their opinions and information mattered;
- To influence problem definition as well as proposed policies;
- To work with administrators and policy-makers to find solutions to public problems;
- To have an equal voice in the policy process;
- To allocate resources to support citizen participation efforts;
- To reward administrators for working with citizens;
- To create on-going project teams of citizens and administrators.

11. The Government, through appropriate mechanisms, processes and procedures as prescribed by rules, regulations or guidelines, shall solicit widest possible participation from all the stakeholders and citizen groups in the development, implementation and review of the performance management systems of departments and institutions owned or substantially financed by the Government and in particular, allow the public to participate in the setting of appropriate performance indicators and performance targets for the departments and institutions.

12. Every department or institution shall, in a manner determined by the Government, must make known both internally, and to the general public, its performance indicators and performance targets set by it for purposes of its performance management system.

Reporting and Analysis of Performance

13. Every department or institution shall submit reports to the Office of Strategic Planning and Performance Management in such written or computerized form at such intervals as prescribed by the Government from time to time. The Government shall establish arrangements for consolidating and analyzing performance of departments and institutions and for submission of reports. Such report shall include inter-alia the comparison of performance of territorial jurisdictions and functionaries in terms of indicators of performance and processes. The report may also incorporate grading of performance according to the criteria prescribed by the Government.

Performance Audit

14. The results of performance measurements in terms of section 7(1)(iii) shall be audited annually -

- i) as part of the internal auditing processes of the department and institution concerned; and
- ii) by a Performance Audit Committee external to the department or institution as may be constituted by the Government.

15. The result of annual performance audit shall be reflected in the annual performance report of each department or institution.

Performance Evaluation and Feedbacks

16. The Government may arrange for periodic evaluation of performance of programme activities and feedbacks on their implementation in respect of departments and institutions and the results of such evaluation shall be reflected in the annual performance report of the concerned department or institution and/or be notified to the public in a manner prescribed by the Government by order.

Section 5: Annual Performance Plan and Budget

17. The Annual Performance Plan of an organisation covers each programme or activity set forth in the budget for the organisation. An Annual Performance Plan reflects:

- (a) The established performance goals, and define the level of performance to be achieved by each programme activity;
- (b) Express such goals in an objective, quantifiable and measurable form;
- (c) Briefly describe the operational processes, skills and technology, and the human, capital, information, or other resources required to meet the performance goals;
- (d) Establishes performance indicators to be used in measuring or assessing the relevant outputs, service levels, and outcome of each programme activity;
- (e) Provides a basis for comparing actual programme results with the established performance goals; and
- (f) Describes the means to be used to verify and validate measured values.

Annual Performance Plan

18. (1) Beginning with fiscal year 2003-2004, each department or institution shall prepare an Annual Performance Plan consistent with its strategic plan for the overall budget and send the same to the Office of Strategic Planning and Performance Management by March 31 along with performance budget.

(2) The Annual Performance Plan shall cover each programme or activity set forth in the budget of the department or institution and shall -

- (a) establish performance goals, including those for territorial jurisdictions and functionaries, to define the level of performance to be achieved by each programme activity and territorial jurisdictions;
- (b) express such goals in an objective, quantifiable and measurable form unless authorized to be in an alternative form;
- (c) briefly describe the operational processes, skills and technology, and the human, capital, information, or other resources required to meet the performance goals;
- (d) establish performance indicators to be used in measuring or assessing the relevant outputs, service levels, and outcome of each programme activity;
- (e) provide a basis for comparing actual programme results with the established performance goals and between territorial jurisdictions and functionaries; and
- (f) describe the means to be used to verify and validate measured values.

(3) if a department or institution determines that it is not feasible to express the performance goals for a particular activity in an objective, quantifiable, and measurable form, it may adopt alternative methods of tracking performance with the approval of the Appropriate Authority subject to the conditions that (i) the department or institutions states why it is infeasible or impractical to express a performance goal in any form for the programme activity and (ii) the alternative form includes separate descriptive criteria for an effective or successful programme.

(4) for the purpose of complying with Section (1), a department or institution may aggregate, disaggregate, or consolidate programme activities, except that any aggregation or consolidation may not omit or minimise the significance of any programme activity constituting a major function or operation for the department.

Annual Performance Budget

19. Performance budgeting is an exercise that costs various activities that attempt to achieve an end outcome. It enables the correlation of results to expenditures. There are three components of performance budgeting:

- the result (end outcome);
- the strategy (ways to achieve the end outcome); and
- the activity / outputs (what is actually done in order to achieve the end outcome).

Performance budgeting establishes a link between the rationale for specific activity and the end outcome results. Here the results are not costed out, but the individual activities or outputs are costed though. This information enables policy makers to determine what activities are cost-effective in reaching their end outcomes.

20. (1) Every department or institution under the Government shall, subject to regulations or guidelines prescribed by the Government, develop and implement a performance-based budgeting system that links allocations to development goals and

objectives set out in the strategic plan and annual performance plan, prescribe detailed measures of programme and fund performance against attainment of planned outcomes and provide for programme evaluation and feedback. Such outcome measures and attainment of set goals and objectives for programmes and funds allocation shall be put up before the Legislative Assembly for approval of appropriate levels.

(2) The Government may, by executive order, provide managerial flexibility for implementation of performance budget and use of funds in respect of specified programmes in departments or institutions.

Section 6: Annual Performance Report

21. Organisations Annual Performance Report provides the stakeholders with a summary of its key activities, achievements and the financial situation over the year. It provides an overview of the organisation. The Annual Performance Report reflects:

- (i) the performance indicators established for programme activities and targets set in the department's or institution's Annual Performance Plan;
- (ii) the performance of the department or institution and functionaries actually achieved in terms of performance indicators during the financial year and a comparison with the targets and performance in the previous financial years;
- (iii) explanations and description of why particular goals, if any, are not met and if the performance goals were impractical or infeasible, why that is the case and what action is recommended;
- (iv) description of significant achievement in performance or success stories; and
- (v) the measures to be taken to improve performance.

22. No later than April 15 each year, every Government department or institution shall prepare and submit to the Appropriate Authority through the Office of Strategic Planning and Performance Management

a) an Annual Performance Report reflecting

- (vi) the performance indicators established for programme activities and targets set in the department's or institution's Annual Performance Plan for the financial year being reported;
- (vii) the performance of the department or institution and service providers covering programmes, territorial jurisdictions and functionaries actually achieved in terms of performance indicators during the financial year and a comparison with the targets and performance in the previous 3 financial years;
- (viii) if performance goals are specified in an alternative form under Section 15(3), the results achieved with respect to those alternative specifications,

including whether the performance failed to meet the criteria of effectiveness or success;

(ix) explanations and description of (a) why particular goals, if any, are not met (b) if the performance goals were impractical or infeasible, why that is the case and what action is recommended and (c) if internal corrective actions are needed to meet performance goals what initiatives have been taken or proposed to be taken in this regard;

(x) description of significant achievement in performance or success stories;

(xi) measures that were taken or are to be taken to improve performance;

b) the financial statements for the financial year being reported prepared in accordance with the standards of generally recognized accounting practices;

c) an audit report on the financial statements and the report on the performance audit conducted in the terms of Section 12, and

d) any other reporting requirements in terms of other legislations.

23. The Government shall cause adoption of the Annual Performance Report of each department or institutions based on the recommendation of the Appropriate Authority and cause publication of the same or make available its contents to the public in a manner as prescribed by regulation or guideline.

Section 7: Apex Committee

24. For the purpose of monitoring of the implementation of the performance management system, citizen's charters, etc. and taking administrative action based on performance reports the Government may establish an Apex Committee headed by the Finance Minister with the following members.

a) Three other Ministers as the Government may determine;

b) Chairman of the Public Accounts Committee;

c) Chief Secretary;

d) Vigilance Commissioner;

e) Director General, MCR HRD Institute; and

f) Two Representatives from civil society organisations or general public.

Section 8: Performance Rewards and Penalties

25. The major purpose of performance evaluation is to formalise rewards in way of compensations (salary, commission, and bonus) and promotions. It aims to provide for penalties and to contain non-performance through punishments, transfers and through legal compliance.

26. (1) After review of the annual performance report and other evidences as deemed appropriate, and upon finding that a department or institution has substantially exceeded the performance standards for its performance indicators, the Appropriate

Authority may recommend to the Apex Committee recognitions or rewards to identified functionaries based on performance.

(2) After review of the annual performance report and other evidences including qualitative assessments as deemed appropriate, and upon finding that a department or institution or functionary has failed to achieve the performance standards for its performance indicators, the appropriate authority may recommend training or imposition of penalty on identified functionaries.

(3) The Apex Committee may accept, partly accept or reject recommendation by the Appropriate Authority by resolution to that effect following which the rewards or penalties may be given effect to by the concerned department or institution.

(4) Every department or institution shall provide a specific allocation in its budget every year, as may be prescribed by the Government by order, for the purpose of rewarding its employees for exemplary performance and training them in performance management and citizen-centric administration.

27. The Government shall take into account performance-based assessments, rewards and penalties or any other remedial action while considering the placement of individuals for positions or elevations to higher posts.

28. The Government shall amend the existing civil services rules and provide for inclusion of performance based-incentives and disincentives, promotion to higher posts out of turn based on performance, institution of awards (either in cash or kind) or recognition which includes titles, based on performance.

Section 9: Application of Act

29. No provision or amendment made by this Act may be construed as-

(a) creating any right, privilege, benefit, or entitlement for any person who is not an officer or employee of the Government of Andhra Pradesh acting in such capacity, and no person who is not an officer or employee of the Andhra Pradesh acting in such capacity shall have standing to file any civil action in a court of Andhra Pradesh to enforce any provision of this Act; or

(b) superseding any statutory requirement.

Section 10: Power to remove difficulties

(a) If any difficulty arises in giving effect to the provisions of this Act, the Government as the occasion may require, by order published in the Andhra Pradesh Gazette, do any thing which appears to them necessary for removing the difficulty.

(b) All orders made under this section shall as soon as may be, after they are made, be placed on the table of the Legislative Assembly of the state and shall be subject to such modifications by way of amendments or repeal as

the Legislative Assembly may make either in the same session or next session.

Section 11: Power to make Rules

- (a) The State Government may, by notification in the official Gazette, make rules to carry out the purpose of this Act.
- (b) The Government may make rules providing for carrying out the objectives of the Act and such rules may provide for all or any of the following matters:
 - (i) accountability of the department, institution, public authority or functionary with reference to the internal processes and goals of the department under sub-section (2) of section 3;
 - (ii) accountability of a department, institution, public authority or functionary with respect to stakeholders under sub-section (3) of section 3;
 - (iii) duties of functionaries in discharging their internal as well as external accountability under sub-section (4) of section 3;
 - (iv) the manner and mode in which the Heads of the departments will report to OSPPM under sub-section (1) of section 5;
 - (v) the guidelines on setting performance indicators for the departments under sub-section (1) of section 7;
 - (vi) the manner in which measurement and grading criteria shall undergo change under section 11;
 - (vii) classification and grouping of the departments under sub-section (b) of section 6;
 - (viii) the manner in which the evaluation and feedbacks shall be undertaken under section 14;
 - (ix) the manner in which periodical monitoring and reviews of the departments shall be undertaken under sub-section (c) of section 7;
 - (xi) the manner in which and the conditions subject to which the reports may be made available to the stakeholders under section (10);
 - (xii) rewards and Penalties to performers as well as non performers under section 21;
 - (xiii) matters with respect to the Apex Committee and its functions under section 19;
 - (xiv) any other matter which is required to be, or may be, prescribed.

- (c) Every Rule under the Act shall immediately after it is made, be laid before the Legislative Assembly of the State, if it is in session and if it is not in session, in the session immediately following for a total period of fourteen days which may be comprised in one session or in two successive sessions, and if, before the expiration of the session in which it is so laid or the session immediately following, the Legislative Assembly agrees in making, any modification in the rule or in the annulment of the rule, the rule shall, from the date on which the modification or annulment is notified, have effect only in such modified form or shall stand annulled as the case may be, so however, that any such modification or annulment shall be without prejudice to the validity of anything previously done under that rule.

Section 12: Provision of Appeal

Whoever is aggrieved by the orders for punishment shall file an appeal to the Apex Committee within 30 days of receipt of the order.

Section 13: Protection of Actions done in good faith

No penalty shall be levied against an individual, department or institution to discharge any function under this Act, for any loss or damage caused or likely to be caused by any action which is in good faith done or intended to be done in pursuance of this Act or under the Rules made thereunder.

Section 14: Summary

To improve relationship between the governing and the governed, governments need to focus on better performance, efficiency and aim for an informed citizenry. Citizens want to know how effectively and efficiently their city delivers services. To properly serve their citizens, governments need to make information available so that policymakers and citizens fully understand the dynamics.

Some Definitions

2. In this Act, unless the context otherwise requires,
- (a) **‘Public Authority’** means any authority or body established or constituted –
- i) by or order under the Constitution of India,
 - ii) by any law made by the Government, and
 - iii) include any other body owned, controlled or substantially financed by funds provided directly or indirectly by the Government.
- (b) **‘Public Servant’** means a person holding or who has held an office or post in the State Government or in any statutory corporation, agency or company subject to control of the state Government or financed wholly or partly by it and shall include-
- i) any person who has held or is holding the office of a minister, or is or has been a member of legislature, or is holding or has held any other political office in the State Government.
- (c) **‘Appropriate Authority’** means a designated public authority established or constituted by the State Government for the purpose of performance management and other purposes.
- (d) **‘Department’** means any State Government Department under the control of the Government of Andhra Pradesh.
- (e) **‘Institution’** means any institution under the control of the Government or substantially financed out of its funds and includes all Semi-Government Bodies, Local Bodies, Co-operative Institutions, Public Sector Undertakings, etc., under the control of the State Government.
- (f) **‘Functionary’** means an employee/public servant assigned to a particular post in Government or institution under the control of Government.
- (g) **‘Incentives’** means all kinds of incentives either monetary, commendatory, promotions, awards etc., given for the rated performance of individuals, departments or institutions based on the approved reports of the Statutory Committees instituted for the purpose.
- (h) **‘Disincentives’** means all kinds of disincentives or penalties either monetary, condemnatory, de-promotions, recovery of losses incurred by the Government etc., given for the rated performance of individuals, departments or institutions based on the approved reports of Statutory Committees instituted for the purpose.
- (i) **‘Information’** means any material in any form relating to administration, operations or decisions of a public authority.

(j) **‘Information Systems’** means the approved system of collection, compilation, analysis, documentation, retrieval and communication of the information from grassroots level to apex level, as prescribed by the appropriate authority.

(k) **‘Programme Activity’** means a specific project or activity for which funds are provided in the Andhra Pradesh annual budget.

(l) **‘Performance’** means all kinds of scalable actions in respect of achieving the objectives for set goals, either monetary or service, or otherwise as prescribed.

(m) **‘Performer’** is the one who achieves set goals, monetary, service, or otherwise as prescribed.

(n) **‘Performance Goal’** means a target level of performance expressed as tangible, measurable objective, against which actual achievement can be compared, including a goal expressed as a quantitative standard, value or rate.

(o) **‘Performance Indicator’** means a particular value or characteristic used to measure output or outcome.

(p) **‘Input Indicator’** means an indicator that measures the costs, resources and time used to produce an output or result.

(q) **‘Output Indicator’** means an indicator that measures the results of activities, processes and strategies of a programme.

(r) **‘Outcome Indicator’** means an indicator that measures the quality and/or impact of an output on achieving a particular objective.

(s) **‘Service Provider’** means an agency or person or a combination of persons and agencies which provide a public service.

(t) **‘Service Delivery Agreement’** means an agreement between a department/an institution and an agency/person in terms of which a government service is provided by that agency or person.

(u) **‘Programme Evaluation’** means an assessment, through objective measurement and systematic analysis, of the manner and extent to which a programme achieves intended objectives.

(v) **‘Notification’** means notification published in the Andhra Pradesh Gazette and the word notified shall be construed accordingly.

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District Development Indicators

—Rajeev Parmar

1. Introduction

Decentralisation of administrative and planning machinery, devolution of power and formation of district governments are priority areas of the present government. Meeting the needs of good governance and bringing in district government data at the district level have assumed a great deal of importance. The basic strategy behind devolution of power and decentralisation of administrative units in the state is people-centered, responsibility-based and service-oriented. In Andhra Pradesh (AP) increase of 1347 sq. kms. in forest cover from 1997 till date, fall in percentage of people below poverty line to 15.77% in 1999-2000, total number of Self-Help groups (at least one in all villages and 75% of villages have 15-20 groups) rising to 457526 as on August 2003 are some of the outstanding results of the strategies followed in the state. According to the Employment Market Information statistics available, a total of 20,422 establishments exist in the state giving employment to 20,53,544 persons as on December 2002. Presently there are 33 e-Seva centres (with over 250 service counters spread over the twin cities of Hyderabad and Secunderabad in the state of Andhra Pradesh) serving over 30,000 citizens on an average per day. All service counters are facilitated with an electronic queuing system. It is a one-stop-shop for over 51 G2C and B2C services.

The proposed change in the system and the process warrants availability of data and information at district level to facilitate job of district functionaries and elected representatives. District Development Indicators (DDIs) should contain important statistical data for all twenty three districts in AP. This working paper provides a framework for selecting and formulating DDIs. Keeping in view this objective, the data for all the districts in AP has been analysed for this exercise. It is hoped this working paper would be useful for district administrators, planners, elected representatives and researchers at every level.

Transition in Economic Development

As an economy develops, so do its structural bases of national /district competitiveness. At low levels of development, economic growth is determined by the mobilisation of primary factors of production: land, primary commodities, and unskilled labour.

Year	Primary Sector	Secondary Sector	Tertiary Sector
1993-94	36	22	42
1994-95	33	24	43
1995-96	33	24	43
1996-97	33	23	44
1997-98	29	25	46
1998-99	32	24	45
1999-00	30	23	47
2000-01	31	22	46
2001-02	30	22	47

Source : Directorate of Economics & Statistics

Real economic growth also facilitates the fight against inequality and poverty, because people are always more ready to share part of an increasing income than to absorb an absolute reduction in a stagnant income. Growth is clearly not sufficient for all these things to happen, but it is certainly a necessary precondition (Fortin, 1999).

The transition is quite visible for AP, as primary sector contribution has gone down, secondary sector shows no variation, and as per the fast development in services sector, figures have shown a rise. According to NASSCOM (National Association of

Software and Service Companies) Hyderabad has achieved highest growth rate of 323% in IT enabled services in 2001-2002.

What are indicators?

Indicators are measurements that tell us whether progress is being made in achieving our goals. They essentially describe the performance dimension key in measuring performance.

Why have Indicators?

There is already a package of internationally accepted key economic indicators which are widely understood, and used to monitor how the economy is performing. These include growth in the economy, rate of inflation, level of interest rates, balance of payments, public sector borrowing and debt. The Government uses them in making its economic policy decisions. They are also widely reported in the media and are recognised by the public, who understand what levels of, or trends in, these indicators mean in terms of the performance of the economy.

Selection of the indicators

A good indicator should satisfy a number of criteria. It should be scientifically sound and technically robust, easily understood, sensitive to the change that it is intended to represent, measurable and capable of being updated regularly. Ideally, we also need indicators which we can use now to report on progress, which means information must be available already, or can readily be collected. The selected indicators should give a broad overview of whether we are achieving a 'better quality of life for everyone, now and for future generations to come'. They should also cover the three pillars of sustainable development, namely social progress, economic growth and environmental protection, including people's everyday concerns like health, jobs, crime, air quality, traffic, housing, educational achievement, wildlife and economic prosperity.

Why Development Indicators System?

An indicator system understands the linkages between economic strength and better quality of life. By deconstructing the components of district growth into discrete measurements, we can articulate the main drivers of economic progress, which in turn, reveal the necessary preconditions for a rising standard of living. The indicator system also serves as a tool for decision makers in government and sectors like industry, agriculture, etc. It identifies both problems and opportunities for policymakers and business leaders, and indicates possible initiatives for improvement. Used consistently over time, indicators can help track changes and trends in economic performance, thereby revealing where policy might best be employed to spur ongoing improvements in districts' quality of life.

Some sample based data (for example, employment data from ASI) is less reliable for small districts, especially when it is further disaggregated by sector of employment or ethnicity of employees. Other data, such as GDP, is simply not available below the sub-regional level. In these circumstances, smaller areas may still find regional or sub-regional data useful to provide contextual information. The indicators themselves also vary in reliability because of the way in which some of the data is estimated (for example, GDP at subregional level) and so require careful interpretation.

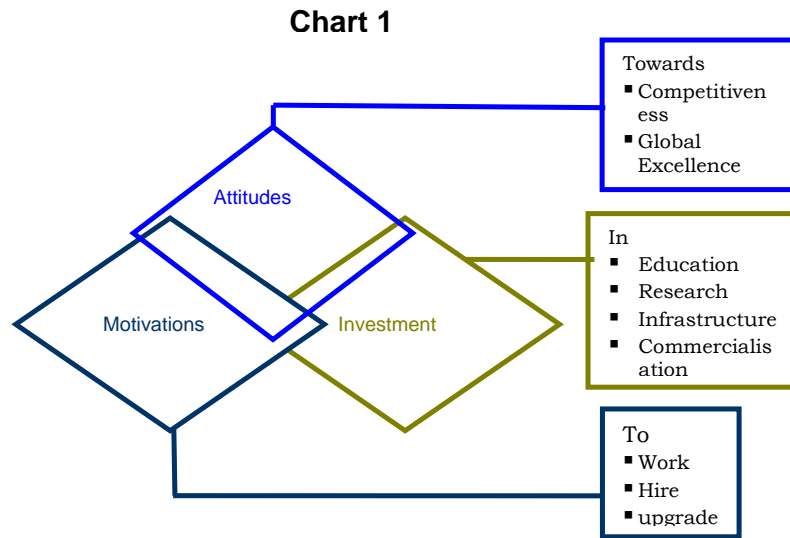
District Development Indicators (DDIs)

A district's ability to increase its prosperity is the function of many factors including its macroeconomic environment, its microeconomic foundations for business and individual

success and its social and environmental health. The capacity for innovation and upgrading should be the core component of our indicator system. It should represent an *integrated* system of the following three elements:

- **Attitudes** towards competitiveness, growth and relative global excellence;
- **Investments** in education, research and development and commercialisation;
- **Motivations** for hiring, working and upgrading.

This gives the following AIM Model (Chart 1).



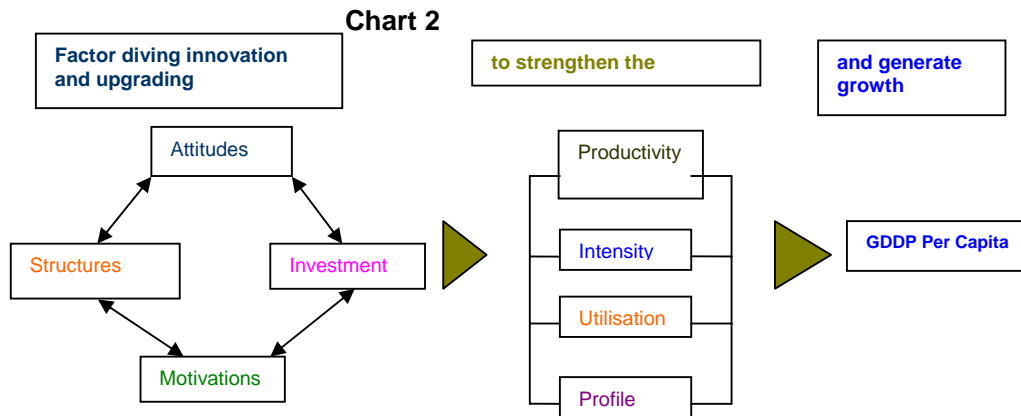
Although the presence of each one of these elements in a region is essential for building a district's capacity for innovation and upgrading, it is their ongoing interaction that ensures the district's ability to sustain economic prosperity. The key to close or narrow down the prosperity gap is to improve productivity. Four elements to drive the district growth or productivity are:

Profile – the proportion of total population who are contributing to its economic performance;

Utilisation – the proportion of working population who is actually employed;

Intensity – the amount of time those who do work are actually working;

Productivity – the success in translating working hours into products and services of value to people in district and around the state/country. The high correlation of productivity with urbanisation, wages around the world shows that it matters a lot in promoting growth in a region. Only productivity can grow indefinitely. Through continuous innovation and upgrading we can generate more output from the available resources. Raising productivity to reduce the prosperity gap – the ability of the people, firms and government to create value from our labour, intellectual, physical and natural resources. Increasing productivity does not mean we should all work longer hours for less money. In fact, it means the opposite. We should be creating higher value in our economy than ever before finding smarter ways for individuals to work. The following Chart 2 defines this more clearly:



Gross Value Added (GVA) is used in the estimation of Gross State Domestic Product (GSDP). GSDP is a key indicator of the state of the whole economy; similarly, Gross District Domestic Product (GDDP) indicates the overall health of the district, districts contribution to GSDP can also be used as a proxy to measure district growth.

Goals to be considered while formulating DDIs

A. Sustainable Development

The Government intends that a set of DDIs in tune with sustainable development framework can help policymakers and people to understand what sustainable development means. They should also help businesses and individuals to understand how their own actions might contribute to a more sustainable future.

What is Sustainable Development?

Opportunities for change set out four broad objectives on which the Government's vision of sustainable development is based. These are:

- Maintenance of high and stable levels of economic growth and employment;
- Social progress which recognises the needs of everyone;
- Effective protection of the environment;
- Prudent use of natural resources.

Achieving sustainable development means addressing all of these objectives equally, both for present and future generations.

What is a Sustainable Economy?

To deliver a more sustainable economy we need:

- to do more with less: making better use of resources(improving resource efficiency);
- a stable and competitive economy;
- to develop skills and reward work;
- goods and services which meet consumers' needs and are produced, and can be used, ever more efficiently;
- the Government, producers and consumers working together to achieve long term change.

Building Sustainable Communities

We need to build sustainable communities in our cities, towns and rural areas by:

- strengthening regional and local economies;
- meeting people's social needs: promoting better health, housing and access to services and recreation;
- improving local surroundings: revitalising town centres, tackling degraded urban environments, and ensuring that development respects the character of our countryside;
- reducing crime and the fear of crime;
- addressing problems of poverty and social exclusion in the most deprived communities;
- making it easier for people to get involved in their communities; and
- coordinating policies to bring these objectives together.

Why measure Sustainable Development?

Societies measure what they care about. Measurement helps decision-makers and the public define social goals, link them to clear objectives and targets, and assess progress toward meeting those targets. It provides an empirical and numerical basis for evaluating performance, for calculating the impact of our activities on the environment and society, and for connecting past and present activities to attain future goals. Measuring sustainable development—just as we currently measure economic production—makes it possible for social and environmental goals to become part of mainstream political and economic discourse.

The principles of sustainable development underpin all Government policies and in particular those on the economy, health, education, welfare, employment, social exclusion, transport, agriculture and the environment. Key indicators are used or being developed in each of these specific areas. The purpose of the DDIs as a set of sustainable development indicators is to complement those more specific indicators by presenting a balanced set of measures which will allow sustainable development to be assessed.

Some of the indicators proposed here are already among the key measures to be used in these other areas, but different indicators may be more appropriate for different purposes. For example, the sustainable development indicator covering health will illustrate the highest level objectives of health policy, i.e., promoting better health and longer life for all the population. But additional, more detailed, indicators on reducing specific causes of ill health or premature death, etc., will figure in the health strategy.

B. Millennium Development Goals

- Eradicate extreme poverty and hunger
- Achieve universal primary education
- Promote gender equality and empower women
- Reduce child mortality
- Improve maternal health
- Combat HIV/AIDS, malaria, and other diseases
- Ensure environmental sustainability
- Develop a global partnership for development

C. Vision 2020

As per the vision, the Government is pursuing specific strategies to remove disparities between different categories of its people and between different regions of the State. The government, therefore, looks to the people to become its partners in progress, striving together to achieve the level of development that Vision 2020 stands for.

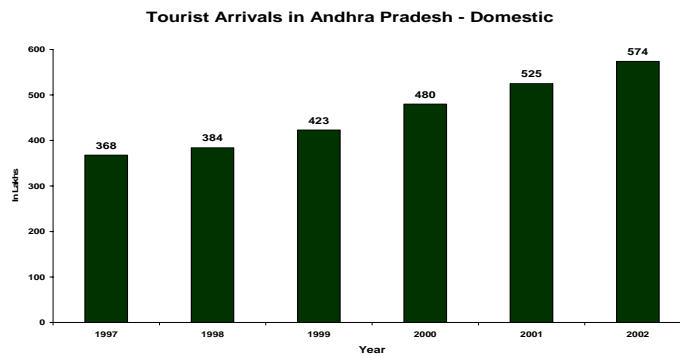
Drivers of Growth for each sectors discussed in earlier stages of this paper are very clearly defined in the vision.

Few drivers of growth/lead sector for districts in industrial sector are given below. The lead sector of a district economy is the sector which provides the large part of output and employment and contributes more than other sectors.

Cement: Adilabad, Cuddapah, Krishna, Karimnagar, Nalgonda, Kurnool, Guntur, Vishakapatnam.

Sugar: Vijayanagaram, West Godavari, Nizamabad, Visakhapatnam, East Godavari, Chittoor, Krishna, Srikakulam and Medak.

Textile: Chittoor, Anantapur, Kurnool, Ranga Reddy, Adilabad, Warangal, East and West Godavari.



Tourism: Hyderabad, Vishakapatnam, Vijayawada, Ananthapur, Nellore, Warangal, Chittoor

Jute: Vijayanagaram, Vishakapatnam, Srikakulam, Guntur and West Godavari.

Major and medium scale industries: Hyderabad, Vishakapatnam.

Handicrafts Industries: Karimnagar, Warangal, Srikakulam, Chittoor, Krishna.

The various measures taken by the Government are reflected in the rise in investment from Rs.4.35 crores in 1990-94 to Rs.1048 crores in 2000-02 in this sector. Similarly, drivers of growth in other sectors can be identified for each district.

D. Agenda 21 is a statement of willingness by countries to strive for a form of development that recognises the essential links between economic growth, social equity and environmental protection.

Classification of DDIs and position of Andhra Pradesh

DDIs can be classified into the following categories:

Economic growth

Economic growth leads to higher living standards and greater prosperity for individuals, generally improving the quality of life. The measure for district overall growth is GDDP, and further showing the improvement in quality of life is GDDP per capita.

Social investment

Social investment constitutes investment in public assets like transport, hospitals, schools, water supply, sewerage and waste disposal services, etc. Sustainable development means living off our income, not eroding our capital base, so that we are not storing up problems for future generations. Especially important is investment in "public" assets which benefits everyone. This indicator measures investment in public assets which means investment which benefits everyone. Net investment (after taking account of worn or obsolete assets) and capital stock is equally important, and the indicator will be developed to include these measures if reliable estimates can be made.

When assessing sustainability issues, this indicator should be considered alongside other indicators; for example, investment in education should be assessed together with changes in education standards; investment in health should be assessed with changes in people's health; investment in rail and roads needs to be considered together with changes in traffic volumes, and investment in sewage treatment needs to be considered with changes in river quality.

Employment: People of working age who are in work

Giving people opportunities for work is a key objective underlying sustainable development. Employment provides income for individuals enabling them to improve living standards and meet their social needs, and makes the best use of human resources. Levels of employment are closely related to economic activity which is covered by the GSDP/GDDP indicator. To minimise unemployment in the longer term, people need the right skills to do the jobs available and this requires investment in education and training.

Human Development Indicators

The Human Development Index is formulated for 15 principal states. HDI Ranking of 15 Principal States developed by me at Centre for Good Governance is shown in the table below. The methodology followed is same as followed in the United Nations Development Programme (UNDP), Human Development Report 2003. The index details will be provided in next assignment. This is based on the three following core indicators:

- i. **Per capita income of the states**
- ii. **Education:** Comprising of adult literacy rate and gross enrolment rate
- iii. **Health:** Comprises of life expectancy at birth indicator

Ensuring a better quality of life for everyone is central to sustainable development. A priority for most people is enjoying a long and healthy life. The indicator shows how life expectancy has been changing as a result of improvements in overall health and in health care systems. Socio-economic factors have a strong influence on people's health and expectation of long life. Expected years of healthy life are also influenced by factors such as a good diet, non-smoking and regular exercise and improvements in health will depend to some degree on people adopting healthier lifestyles.

Kerala tops the index and Bihar is at the lowest rank among the 15 major states. The low rank of Andhra Pradesh shows that we need to monitor and improve our position with respect to adult literacy rate, gross enrollment in school going age group and life expectancy at birth.

Housing quality

Housing is another key component of a decent quality of life. 'Housing for all' strategy should focus on providing housing to poor and socially backward people in the district. The table gives overall number of house sites distributed to scheduled castes, scheduled tribes, backward classes and economically backward classes in the state (as on 31.3.2001). Further, the quality of housing do needs serious consideration as it causes harm to health, and is often linked with other social problems.

State	Extent of Land Acquired (Acres)	Number of Beneficiaries
Andhra Pradesh	34,289.59	10,36,969

Climate change: Emissions of greenhouse gases

Climate change is recognised as one of the greatest environmental threats facing the world today. All countries have acknowledged the need to reduce greenhouse gases like carbon dioxide, which are causing global temperatures to rise.

Carbon dioxide emissions are mainly driven by energy consumption. For business and the public sector, which account for most of the total emissions, there is considerable scope to improve energy efficiency cost effectively, which will also cut their costs. Households can help to reduce emissions and save money by being more energy efficient, by insulating their homes and using more energy efficient appliances.

Air pollution: Days of air pollution

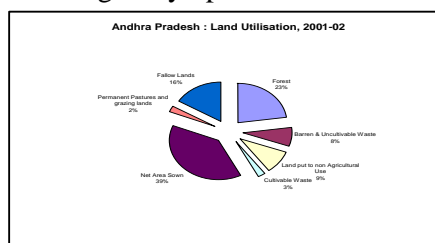
A key sustainable development objective is to control air pollution in order to reduce the risks of harm to human health, and to the natural environment.

Transport: Road traffic

The key sustainable development objective is to strike the right balance between the ability of transport to assist economic progress and to meet people's needs for access, while protecting the environment. In the past traffic growth has been highly associated with economic growth, but now the resulting volume of traffic and congestion is at the heart of many of the problems we face. The total number of transport vehicles on road in the state has recorded a growth rate of 11.42% during 2001-02 over 2000-01 as on 31.3.2002.

Wildlife: Population of wild birds

We value wildlife for its own sake and because it is an integral part of our surroundings and our quality of life. Birds are regarded as good indicators of wildlife and the health of the wider environment. Birds are generally believed to be good indicators of the broad state of wildlife and the countryside, as they are wide-ranging in habitat distribution and tend to be at or near the top of the food chain. Birds are well studied and monitored and reasonably reliable estimates of their populations are available annually, so unlike many other species of animals and plants, a bird indicator can be regularly updated.



Source: Directorate of Economics & Statistics

Land use: New homes built on previously developed land

Sustainable development means maximising the re-use of previously developed land in order to protect the countryside and also to encourage regeneration of towns and cities. Urban land use needs proper attention for the development of a district.

Waste: Waste and waste disposal

Excessive production of waste may be a symptom of inefficient use of resources, and dealing with waste once it has been produced has an impact on the environment.

The level of waste can be used as a proxy for a measure of the efficient use of resources, but it does not give the full picture. The Government should consider ways of measuring the total resource consumption in the State and then in each district. Some of the links between DDIs is given in the adjoining Chart 3.

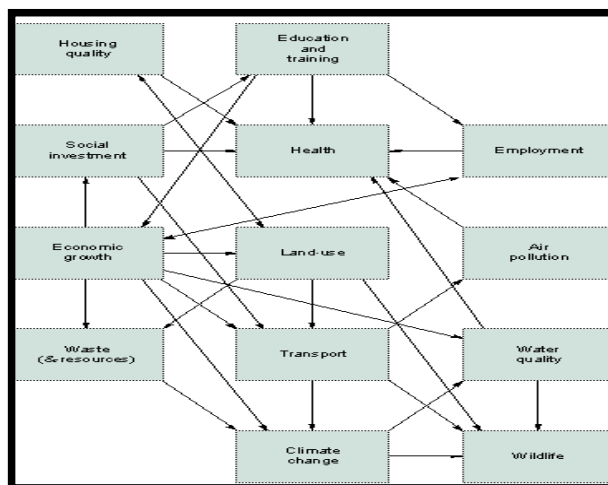


Chart 3

Indicators of Good Governance

Indicators of good governance included in the Millennium Development Goals (MDGs) specify that the number of indicators should be small. As any single objective indicator tends to measure only a very small part of the institutional and governance environment, a large number of indicators is needed for a fair and accurate depiction. A Good Governance indicator incorporates Voice & Accountability, Political Stability, Government Effectiveness, Regulatory Quality, Rule of Law and Control of Corruption. Regulation & Promotion of Entry (for example, Single Window System), Tax Revenue (Administrative Capacity), Budgetary Volatility- theory and evidence indicate that volatile and unpredictable government policy reduces private investment and Low Debt burden (Proper Planning, Volatile and unpredictable government revenue collection policy can discourage adequate long run planning).

The only way to attain reasonable accuracy, while maintaining objectivity and keeping the number of indicators low, is to aggregate indicators into smaller number of indices. For example, trade taxes as a share of all government revenues is sometimes used as a proxy for administrative capacity, but it also may be affected by trade policy¹.

Examples of DDIs with definition

Definitions of important DDIs are as follows:

Density: is pressure of population on land and is calculated by dividing number of people in a district by geographical area of the district.

¹ Higher import tariffs will increase trade tax revenues for a given level of imports, but may reduce revenues if they lower import volumes sufficiently.

Land Use:

- i. Total Area Reported means the total physical area of district. It includes cultivated area (net area sown+current fallow) culturable waste, unculturable land and forest area).
- ii. Forest Area means the area of any land or classed or administered as Forest under any legal encashment dealing with forests. Any cultivated area which may exist within such forest is excluded and shown under the heading cultivated area.
- iii. Total cropped area means the sum total of area sown during given year including Kharif and Rabi crop.
- iv. Cultivated Area means the land currently being used for agriculture purposes, included land under crops, orchard as well as current fallows. It is the area net sown plus current fallow.
- v. Current Fallow means the part of the cultivated area which has not been used for cropping during the year under reference but for which the total vacant period does not exceed three cropping seasons. The land remaining vacant to more than three successive seasons should be shown under the head "Cultivable Waste".
- vi. Net Area Sown means the area which has been sown at least once in a year. It will include area under crops, fruits and vegetables, etc.

Per capita cropped hectare- The cropped area of the district is divided by total population of the district.

Per capita cultivated hectare- The cultivated area of the district is divided by total population of the district.

Fertiliser Use: There are different types of fertilisers which have varying potencies. Application of fertiliser is measured in term of Nutrient Tons (N. Tons). Consumption of fertiliser measured in N. Tons is divided by the cropped area of the district.

Agriculture Production: Per capita agriculture production for major crops like Wheat, Rice, Cotton and Sugarcane has been computed on the basis of actual production by these crops in the district divided by the total population of the district.

Literacy Rate: The percentage of people aged 15 and above who can, with understanding, both read and write a short, simple statement related to their everyday life. Literacy Ratio is defined as literate population of ten years and above divided by total population of ten years and above expressed in percentage.

Education: Enrollment Rate- Total enrollment (irrespective of age) in Government Primary School of the district (class I to V) is divided by population of children in age group 6-10 years;

Enrollment Rate- Total enrollment (irrespective of age) in Government Upper Primary School of the district (class VI to VII) is divided by population of children in age group 11-12 years;

Enrollment Rate- Total enrollment (irrespective of age) in Government Secondary School of the district (class VIII to X) is divided by population of children in age group 13-15 years.

Student per school - Total student population in the district is divided by number of schools in the district;

Student per teacher- Total student population in the district is divided by number of teachers in the district;

Teacher per school- Total number of teachers in the district is divided by number of schools.

Health: Few indicators are doctors for ten thousand, nurses per thousand, paramedics per thousand (paramedics comprise of LHVS, radiographers, health technicians, dispensers/persons dressers, x-ray technicians, x-ray assistants, O.T. technicians, O.T. assistants, laboratory technicians, laboratory assistants, midwives and *dai*-s), bed in hospital per ten thousand, etc.

Transport and Communication: The indicators are *pucca* road per 100 Sq. Kms. *katcha* road per 100 Sq. Kms, total motor vehicles (Car, Jeep, Station Wagons) registered per thousand households, total two wheelers registered in the district, etc.

Presently DDIs in AP cover the following listed areas/sectors given below.

Table 1

DDIs in AP	
Sl. No	Name of the Indicator
Population	
1	Area, Population and Density of Population
2	Rural and Urban Population
3	Villages classified according to size of Population
4	Male and Female Population
5	Distribution of Population by Workers, Marginal Workers and Non-Workers
6	Distribution of Population of workers engaged in Agricultural Sectors
7	Distribution of Population of workers engaged in Non-Agricultural Sectors
8	No. of Houses occupied and Households
9	Literate Population
10	Houseless and Institutional Population
11	Scheduled Caste and Scheduled Tribe Population
12	Distribution of Scheduled Caste Population by Workers, Marginal Workers and Non-Workers
13	Distribution of Scheduled Tribe Population by Workers, Marginal Workers and Non-Workers
14	Religion-wise population
15	Scheduled Caste Literate Population
16	Scheduled Tribe Literate Population
Vital Statistics and Public Health	
17	Government Medical Facilities (Allopathic)
18	Medical Facilities – Ayurveda
19	Medical Facilities – Unani
20	Medical Facilities – Homoeopathy
Climate	
21	Rainfall, Season-wise
22	Area under Food and Non-Food Crops
23	Average Annual Rainfall
24	Maximum and Minimum Temperature at Different Stations
Agriculture	
25	Land Utilisation

26	Area under Food and Non-Food Crops
27	Cereals: Area and Out-Turn
28	Pulses: Area and Out-Turn
29	Oil Seeds: Area and Out-Turn
30	Other Crops: Area and Out-Turn
31	Percentage of Area under Principal Crops to Total Area Sown
32	Yield per Hectare of Principal Crops
33	Average Wholesale prices of Certain Commodities during Peak Marketing Period
34	Agricultural Machinery and Implements
35	Number of Operational Holdings and Size Class
36	Percentage Distribution of Number of Holdings and Area Operated according to Size Class
Irrigation	
37	Area Irrigated by Sources
38	Area of Crops Irrigated
Livestock and Veterinary Services	
39	Livestock Development Services
40	Livestock and Poultry Population
41	Marine Fish Production
42	Inland Fish Production
Industries	
43	Working of Factories registered under sections 2m (i) and 2m(ii)
Mining	
44	Production of Principal Minerals
Fuel and Power	
45	Power Consumption, Category-wise
46	No. of Services and Connected Load, Category-wise
Transport and Communications	
47	National Highways, P.W.D. (R&B) and Panchayati Roads
48	Number of Post Offices, Telegraph Offices, Telephone Exchanges, Public Telephones and Telephone Connections
Public Finance	
49	Excise: Demand, Collection and Balance
50	Land Revenue: Demand, Collection and Balance
Banks	
51	Distribution of Commercial Banks and average population per Bank
52	Classification of Outstanding Credits and Deposits of all Scheduled Commercial Banks
Education	
53	Pre-primary Schools
54	Primary Schools
55	Upper Primary Schools
56	High Schools
57	Higher Secondary Schools
58	Special Schools
59	Oriental Schools (Hindi Vidyalayas and Sanskrit Pathasalas)
60	Reformatory Schools
61	Junior Colleges
62	Government Hostels for Scheduled Caste Students
63	Government Hostels for Scheduled Tribes and Ashram Schools
Cooperation	
64	Working of Primary Agricultural Credit Societies including Farmer Service Societies

65	Long Term Loans Disbursed by Andhra Pradesh State Co-operative Bank
Judicial	
66	Number and Description of Registered Documents and Value of Property transferred
Police and Crime	
67	General Management of Police Force
68	Incidence of Major Cognisable Crimes (IPC) under different heads
Miscellaneous	
69	Number of Printing Presses at work, Newspapers, Periodicals and Books Registered
70	Incidents of Fire Accidents
71	Backward Classes and Economically Backward Classes
72	Number of Public Libraries
73	Public Distribution System

Source: Statistical Abstract 2002, DES, Government of Andhra Pradesh

DDIs in tune with Vision 2020, WDR, MDGs for the Districts

Though all the areas are covered by the list given above, the focus needs to be on increasing efficiency (for example, energy efficiency) and productivity and to make the growth sustainable in the districts. In AP, productivity growth during 1990s seems to be lower in all sectors, and not limited to particular growth engines or certain products. In West Bengal and Punjab, the two states with good agricultural performance, labor productivity growth is 2.3% compared to only 1% in AP. Similarly, total factor productivity (TFP) growth in industry is only 0.3% in AP compared to 2.0% average growth rate in Gujarat, Karnataka, Maharashtra, and Tamil Nadu. In services, AP's labour productivity growth is same or marginally higher than the corresponding number for the four states (World Bank Study).

Few areas of concern and where reporting is not appropriate are:

- Environmental and sustainable development concerns – CO₂ emissions per capita, GDDP per unit of energy use, population with sustainable access to an improved water source (Rural & Urban), urban population with access to sanitation;
- Land use for urban areas needs proper attention;
- People living with HIV/AIDS (adults 15-49, women 15-49 and children 0-14), malaria and other diseases;
- Commitment to Education and health: public expenditure on education (pre-primary, secondary and tertiary), health;
- For measuring good governance at state or district level (if data is available) we should capture the debt burden, tax revenue and the level of corruption.

Road Ahead

All Districts should try to enhance and monitor progress on the basis of the following economic development objectives from now onwards. Strategic Economic Development Objectives to be fulfilled from the DDIs in each of the district are as below:

Objective 1 - Image of the District

To enhance the image of the District by building on existing unique assets, strengths, opportunities in technology, manufacturing, commerce, independent retailing, tourism, arts, agriculture, environment, etc.

Priority 1 - Develop partnerships and initiatives to coordinate marketing and promotional activity across and between all sectors within the District.

Priority 2 – Promote the image of the district as a premier investment, business and tourist location.

Priority 3 - Develop the theme of excellence across all sectors in our products, activities and events.

Priority 4 - Develop activities on information gathering, lobbying and advocacy to ensure the District is well placed to maximise its profile and opportunities at local, regional and national levels.

Objective 2 – Infrastructure

To encourage the sustainable development of the District’s infrastructure, meeting the communications, transport, land development, housing and environmental needs of the whole community.

Priority 1 – Ensure that there is sufficient supply of land, premises and housing, both rural and urban to meet the needs of inward investors, new and existing businesses, whilst safeguarding the environment.

Priority 2 – Promote the development of an integrated transport strategy for the District recognising the special needs of rural areas.

Priority 3 - Develop an information and communications technology strategy for the District and building of unique technological, industrial and educational strengths in the area.

Priority 4 – Continue to improve the quality of District facilities, centres and business areas to create a safe and attractive environment for those living, working and visiting the area.

Priority 5 – Develop the role of the District’s market towns and temple towns as hubs for service delivery to the rural hinterlands.

Objective 3 – Business Support

To encourage innovation, growth, competitiveness and sustainability of all businesses within the District, to diversity and strengthen its economic base.

Priority 1 – Develop and use methodologies like ‘Regional Innovation Strategy’ and the technological strengths to promote research, development and knowledge transfer to support new and existing innovation led businesses and to aid the development of a high-tech cluster. (‘Regional Innovation Strategies’ are EU-supported programmes to enlarge the innovative capacity of regions, primarily through local networking, collaboration and action-oriented research. They develop a regional consensus and a strategy to improve business competitiveness through innovation.)

Priority 2 - Support identified growth sectors/engines and the diversification of business in the local economy.

Priority 3 – Work with partners to provide a single access point (like Single Window System) to business advice, support and information, and to encourage start up of new businesses. User friendly guide for Industrial clearances is in progress to help potential investors for the same.

Priority 4 – Encourage and support the development of education and business partnerships to encourage young people to stay, or return to the area.

Priority 5 – Recognise the special needs of rural businesses, particularly agriculture and work with these businesses to help them grow and diversify.

Objective 4 – People

To maximise the opportunities for all people in the districts to achieve their full academic, vocational, creative and personal potential.

Priority 1 – Seek to understand the current and future needs of local employers and communicate these to the local workforce to balance supply and demand of skills and support economic growth.

Priority 2 – Work with partners to promote a culture of lifelong learning and skills development within the districts.

Priority 3 – Encourage local employers to develop links with local communities and schools and recruit locally.

Priority 4 – Identify areas of disadvantage, or where barriers to access to employment exist, and develop initiatives to meet the special needs of these areas.

Priority 5 – Support community development initiatives to increase the capacity of stakeholders, the voluntary and community sectors and local residents to deliver activities as per the needs of the communities.

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Appendix 1

Selected Variables from World Development Indicators

Index of indicators

General

Population, Density, Commodity prices and price indexes, Per Capita Income, per PPP dollar GDP. Consumption of Fixed Capital, Annual growth of household consumption,

As share of GDP, as % of GDP, Distribution of income or consumption, household, annual growth of, as share of GDP, per capita, annual growth of, total, of fixed capital, Purchasing power parity, Gini index, Income, distribution.

Gross capital formation, annual growth of, as share of GDP, fixed, annual growth of Gross domestic investment—Gross capital formation, Gross domestic product (GDP) annual growth of, implicit deflator, Prices, per capita growth, total, Gross domestic savings as share of GDP, Gross foreign direct investment, Investment, Gross national income (GNI), per capita, in 1999 PPP dollars, in 1999 U.S. dollars, rank, in 1999 PPP dollars, in 1999 U.S. dollars, total, in 1999 PPP dollars, in 1999 U.S. dollars, Gross national product (GNP), Gross national income (GNI), Credit, domestic from banking sector -to private sector.

Government, central debt - As share of GDP, interest as share of current revenue, interest payments as share of total expenditure, expenditures, As share of GDP, by economic type, military financing, domestic, from abroad, overall deficit, revenues, as share of GDP revenues, current, non tax, by source.

Taxes and tax policies - Duties, on exports ,on imports ,goods and service taxes, domestic , highest marginal tax rate, corporate , individual , income, profit, and capital gains taxes ,as share of total revenue ,as share of total taxes ,international trade taxes ,other taxes ,social security taxes ,tax revenue as share of GDP ,Tariffs.

Tourism, international -expenditures, in bound tourists, by country, outbound tourists, by country receipts.

Agriculture

Cereal area under production, exports, as share of total exports.

Imports, as share of total imports, yield, employment, fertiliser consumption, freshwater withdrawals as share of total land, arable, as share of land area, arable, per capita, irrigated, as share of cropland, permanent cropland as share of land area, machinery- tractors per 100 hectares of arable land, tractors per 1,000 agricultural workers, producer prices, production indexes, livestock-value added, annual growth of as share of GDP per worker.

Trade, Aid

Aid dependency ratios, per capita, total, net concessional flows -from international financial institutions, from United Nations agencies, total. Net official development assistance and official aid by DAC members, as share of GNI of donor country, average annual change in volume, by type, from major donors, by recipient, per capita of donor country, total, untied aid.

Balance of payments- Current account balance, Exports and imports of goods and services, Gross international reserves, Net current transfers, Net income.

Current account balance -Balance of payments, DAC (Development Assistance Committee)—See Aid, Debt, external debt service, total long term, present value of, private non guaranteed, public and publicly guaranteed, debt service, IBRD loans and IDA credits, IMF credit use of total short term total Exchange rates -Arrangements official, local currency units to U.S. dollar ratio of official to parallel real effective, Purchasing power parity.

Exports & Imports -Arms commercial services structure of total travel duties goods and services annual growth of as share of GDP total merchandise by high-income OECD countries, by product by regional trade blocs, direction of trade high technology structure of total value, Imports

Financial flows, net -From DAC members, from multilateral institutions, official development assistance and official aid grants from NGOs, other official flows, private total, Foreign direct investment, net—Investment

Infrastructure

Air transport - Aircraft departures, Air freight, Passengers carried, Telephone mainlines in largest city Energy -Commercial use, annual growth of GDP per unit of per capita, total depletion, as share of GDP emissions, imports, net, investment in infrastructure, production, commercial traditional fuel use as share of total energy use.

Environment

Sulfur dioxide emissions—Pollution Surface area, Land area, Suspended particulate matter—Pollution.

Biological diversity – Species, Threatened/endangered species, Birds –species, threatened species. Carbon dioxide – Damage, Emissions - per capita, Per PPP dollar of GDP. Cities - Air pollution, Deforestation.

Human Development

Crude Birth rate, Births attended by skilled health staff, Low Birth weight. Contraceptive prevalence rate Crude Death rate, Mortality rate

Education - Attainment, Expected years of schooling, male and female Share of cohort reaching grade 5, male and female, Coefficient of efficiency, Enrollment ratio –gross, net, Net primary, male and female, Net intake rate, grade, Public spending on Education, As share of GDP, As share of GNI, Per student, as share of per capita GNI, Per student, by level, Teachers' compensation, Pupil-teacher ratio, primary level, Repeaters, by level Teachers, primary, with required academic qualifications, Unemployment by level of educational attainment.

Access to essential drugs, average length of hospital stay, hospital beds per 1,000 people, immunisation, child, inpatient admission rate, outpatient visits per capita, physicians per 1,000 people, pregnant women, receiving prenatal care, reproductive, births attended by skilled health staff, contraceptive prevalence rate, fertility rate, adolescent, total, low-birth weight babies, maternal mortality ratio, women at risk of unwanted pregnancy, tetanus vaccinations, tuberculosis, DOTS detection rate, treatment success rate.

Health expenditure - Local, per capita, in current U.S. dollars, in PPP dollars, private, as share of GDP, public, as share of GDP, total, as share of GDP.

Health risks - Anemia, prevalence of, HIV, prevalence of, iodized salt, consumption, malnutrition, child, smoking, prevalence of, tuberculosis, incidence of, years lived in poor health.

HIV prevalence -Adults, male and female, ages, Hospital beds—See Health, care, Housing, selected cities, price to income ratio,

Illiteracy rate - Adult, male and female, literacy gender parity index, total, for, other economies, youth, male and female.

Immunisation -Child, DPT, share of children under 12 months, measles, share, of children under 12 months.

Country risk ratings

Composite ICRG risk ratings, Euro money country, creditworthiness ratings, Institutional Investor credit ratings, Moody's sovereign long-term debt ratings, Standard & Poor's sovereign long-term debt ratings.

Defence

Armed forces personnel, as share of labor force, total arms trade, exports, imports, military expenditures, as share of central government expenditure, as share of GNI, Electricity, consumption per capita, production, sources of, total transmission and distribution losses.

Employment

Agriculture, male and female, industry, male and female, informal sector, urban male and female, total services, male and female

Unemployment - Long term, as share of total, male and female, total, rate, by level of educational attainment, male and female, total.

Environment

Forest area as share of total land area, total deforestation, annual average.

Net Depletion, Freshwater annual withdrawals as share of total resources for agriculture for domestic use for industry, total flows, internal, from other countries, resources per capita, Water, access to an improved source, Fuel prices , Threatened species—Biological diversity.

Pollution - Carbon dioxide damage as share of GDP, carbon dioxide emissions, total, nitrogen dioxide, selected cities, organic, water pollutants, emissions of, by industry, per day, per worker, sulphur dioxide, selected cities, suspended particulates, selected cities.

Urban environment

Access to improved sanitation facilities, population, as share of total, in largest city, in urban agglomerations of more than one million, total, selected cities, households with access to services, electricity, potable water, sewage connections, telephone, income, average, household ratio to house price, population, travel time to work , wastewater treated, work trips by public transportation.

Industry, value added

Annual growth of, as share of GDP,

Inflation, Institutional Investor credit ratings, Integration, global economic, indicators of, Interest payments, Manufacturing - Labour cost per worker, structure of, value added, annual, growth of, as share of GDP, per worker.

Population

Age dependency ratio, annual growth of, by age, group, labor force, total, density, rural , total, female, as share of total, foreign, in OECD countries, projected, by 2015, rural, annual growth of, share of total, total, urban, as share of total, in largest city, in selected cities, in urban, agglomerations, total, working age (15–64), See also Migration.

Poverty

International poverty line, population below \$1 a day, population, below \$2 a day, poverty gap at \$1 a day, poverty gap at \$2 a day, national poverty line, population below, rural, urban, social indicators of, body mass, index.

Prices

Commodity prices and price indexes, consumer, annual growth of, food, annual growth of, fuel, GDP implicit deflator.

Productivity

Agriculture, value added per worker, wage per worker, minimum, average hours worked per week, labour cost per worker, manufacturing, value added per worker, manufacturing.

Stock markets

Listed domestic companies, market capitalisation, as share of GDP, total, S&P/IFC Investable index, turnover ratio, value traded.

Information and communications

Technology—Computers, personal; Exports, merchandise, high technology; Fax machines; Internet; Research and development; Science and engineering;

Telecommunications, Telecommunications, cost of call to U.S., investment in infrastructure, outgoing traffic, Telephones, cost of local call, mainlines, per employee, per 1,000 people, in largest city, national, revenue per line, waiting list, waiting time in years, mobile, television, cable subscribers per 1,000 people, sets per 1,000 people, Information and communications technology expenditures.

International Trade

Tariffs, all products, international peaks, share of lines with, simple mean tariff, specific tariffs, share of lines with, standard deviation, weighted mean tariff, manufactured goods, simple mean tariff, weighted mean tariff, primary products, simple mean tariff, weighted, mean tariff, taxes and tax policies, duties.

Appendix 2

Millennium Development Goals (MDGs)

Measuring Development Progress: A Working Set of Core Outcomes

Millennium Development Goals (MDGs)	
GOALS AND TARGETS	INDICATORS
GOAL 1: ERADICATE EXTREME POVERTY AND HUNGER	
Target 1: Halve, between 1990 and 2015, the proportion of people whose income is less than one dollar a day	<ul style="list-style-type: none"> ○ Proportion of population below \$1 per day ○ Poverty gap ratio [incidence x depth of poverty] ○ Share of poorest quintile in national consumption
Target 2: Halve, between 1990 and 2015, the proportion of people who suffer from hunger	<ul style="list-style-type: none"> ○ Prevalence of underweight children (under-five years of age) ○ Proportion of population below minimum level of dietary energy consumption
GOAL 2: ACHIEVE UNIVERSAL PRIMARY EDUCATION	
Target 3: Ensure that, by 2015, children everywhere, boys and girls alike, will be able to complete a full course of primary schooling	<ul style="list-style-type: none"> ○ Net enrolment ratio in primary education ○ Proportion of pupils starting grade 1 who reach grade 5 ○ Literacy rate of 15-24 year olds
GOAL 3: PROMOTE GENDER EQUALITY AND EMPOWER WOMEN	
Target 4: Eliminate gender disparity in primary and secondary education preferably by 2005 and to all levels of education no later than 2015	<ul style="list-style-type: none"> ○ Ratio of girls to boys in primary, secondary and tertiary education ○ Ratio of literate females to males of 15-24 year olds ○ Share of women in wage employment in the non-agricultural sector ○ Proportion of seats held by women in national parliament
Goal 4: REDUCE CHILD MORTALITY	
Target 5: Reduce by two-thirds, between 1990 and 2015, the under-five mortality rate	<ul style="list-style-type: none"> ○ Under-five mortality rate ○ Infant mortality rate ○ Proportion of 1 year old children immunised against measles
Goal 5: IMPROVE MATERNAL HEALTH	
Target 6: Reduce by three-quarters, between 1990 and 2015, the maternal mortality ratio	<ul style="list-style-type: none"> ○ Maternal mortality ratio ○ Proportion of births attended by skilled health personnel
GOAL 6: COMBAT HIV/AIDS, MALARIA AND OTHER DISEASES	
Target 7: Have halted by 2015, and begun to reverse, the spread of HIV/AIDS	<ul style="list-style-type: none"> ○ HIV prevalence among 15-24 year old pregnant women ○ Contraceptive prevalence rate ○ Number of children orphaned by HIV/AIDS
Target 8: Have halted by 2015, and begun to reverse, the incidence of malaria and other major diseases	<ul style="list-style-type: none"> ○ Prevalence and death rates associated with malaria ○ Proportion of population in malaria risk areas using effective malaria prevention and treatment measures ○ Prevalence and death rates associated with TB ○ Proportion of TB cases detected and cured under DOTS (Directly Observed Treatment Short Course)

GOAL 7: ENSURE ENVIRONMENTAL SUSTAINABILITY	
<p>Target 9: Integrate the principles of sustainable development into country policies and programmes and reverse the loss of environmental resources</p>	<ul style="list-style-type: none"> ○ Proportion of land area covered by forest ○ Land area protected to maintain biological diversity ○ GDP per unit of energy use (as proxy for energy efficiency) ○ Carbon dioxide emissions (per capita) ○ [Plus two figures of global atmospheric pollution: ozone depletion and the accumulation of global warming gases]
<p>Target 10: Halve, by 2015, the proportion of people without sustainable access to safe drinking water</p>	<ul style="list-style-type: none"> ○ Proportion of population with sustainable access to an improved water source
<p>Target 11: By 2020, to have achieved a significant improvement in the lives of at least 100 million slum dwellers</p>	<ul style="list-style-type: none"> ○ Proportion of people with access to improved sanitation ○ Proportion of people with access to secure tenure [Urban/rural disaggregation of several of the above indicators may be relevant for monitoring improvement in the lives of slum dwellers]
GOAL 8: DEVELOP A GLOBAL PARTNERSHIP FOR DEVELOPMENT*	
<p>Target 12: Develop further an open, rule-based, predictable, non-discriminatory trading and financial system</p> <p>Includes a commitment to good governance, development, and poverty reduction – both nationally and internationally</p> <p>Target 13: Address the Special Needs of the Least Developed Countries</p> <p>Includes: tariff and quota free access for LDC exports; enhanced programme of debt relief for HIPC and cancellation of official bilateral debt; and more generous ODA for countries committed to poverty reduction</p> <p>Target 14: Address the Special Needs of landlocked countries and small island developing states</p> <p>(through Barbados Programme and 22nd General Assembly provisions)</p> <p>Target 15: Deal comprehensively with the debt problems of developing countries through national and international measures in order to make debt sustainable in the long term</p>	<p>Some of the indicators listed below will be monitored separately for the Least Developed Countries (LDCs), Africa, landlocked countries and small island developing states.</p> <p><u>Official Development Assistance</u></p> <ul style="list-style-type: none"> ○ Net ODA as percentage of DAC donors' GNI [targets of 0.7 % in total and 0.15% for LDCs] ○ Proportion of ODA to basic social services (basic education, primary health care, nutrition, safe water and sanitation) ○ Proportion of ODA that is untied ○ Proportion of ODA for environment in small island developing states ○ Proportion of ODA for transport sector in landlocked countries <p><u>Market Access</u></p> <ul style="list-style-type: none"> ○ Proportion of exports (by value and excluding arms) admitted free of duties and quotas ○ Average tariffs and quotas on agricultural products and textiles and clothing ○ Domestic and export agricultural subsidies in OECD countries ○ Proportion of ODA provided to help build trade capacity <p><u>Debt Sustainability</u></p> <ul style="list-style-type: none"> ○ Proportion of official bilateral HIPC debt cancelled ○ Debt service as a percentage of exports of goods and services ○ Proportion of ODA provided as debt relief ○ Number of countries reaching HIPC decision and completion points

<p>Target 16: In cooperation with developing countries, develop and implement strategies for decent and productive work for youth</p>	<ul style="list-style-type: none"> ○ Unemployment rate of 15-24 year olds
<p>Target 17: In cooperation with pharmaceutical companies, provide access to affordable, essential drugs in developing countries</p>	<ul style="list-style-type: none"> ○ Proportion of population with access to affordable essential drugs on a sustainable basis
<p>Target 18: In cooperation with the private sector, make available the benefits of new technologies, especially information and communications</p>	<ul style="list-style-type: none"> ○ Telephone lines per 1000 people ○ Personal computers per 1000 people

Source: United Nations

Note that the selection of indicators for Goals 7 and 8 is subject to further refinement