

GUIDELINES

Grant of financial assistance to States /UTs/CTIs for Professional Documentation and Dissemination of good governance initiatives / practices under the Plan Scheme on Administrative Reforms.

INTRODUCTION

A good governance practice is a programme, initiative or action which results in improvement in the efficiency of management systems for the delivery of services.

2. State Governments and Union Territory administrations have taken several initiatives in good governance from time to time. However, the documentation of the process of conceptualizing and implementing these initiatives/practices is often confined to newspaper reports and official briefs. This is largely due to the fact that the people involved in the process have little time or patience to document it. In the absence of professional documentation, it is not possible to make an evaluation of these initiatives with a view to take steps for their replication in other States/UTs or elsewhere. The Department of Administrative Reforms and Public Grievances (DARPG) has formulated a Plan Scheme on 'Administrative Reforms' and has been supporting documentation of best practices in the area of administrative reforms.

OBJECTIVE OF THE SCHEME

3. The objective of the scheme is to provide financial assistance to support professional documentation and dissemination of good governance initiatives by the State/UT Governments/**Central Training Institutes** with a view to share experience with each other and replicate elsewhere.

DETERMINANTS / KEY PRINCIPLES

4. While selecting a practice, the beneficiary State/UTs/ Central Training Institutes may take into consideration the following elements:-

- i) A best practice should have a demonstrable and tangible impact on improving the quality of services to the citizens/stakeholders.
- ii) It should be socially, culturally, economically and environmentally sustainable.
- iii) The policy interventions should be:
 - Cost effective;
 - Time saving; and include simplified procedures.
- iv) It should bring into government functioning :

- Transparency;
 - Sensitivity;
 - Responsibility; and
 - Accountability.
- v) It may be a result of effective partnership between the public/private and civic society.
- vi) It should have potentiality for replicability by other States/UTs and Centre.

PROCEDURES

5. DARPG will make sustained efforts to motivate the States/UTs/CTIs to participate in the Scheme in a project mode.
6. In the Case of States/ UTs:-
- Principal Secretary/Secretary (Administrative Reforms) of the beneficiary State/UTs will be the Nodal Officer.
 - Nodal Officer will make efforts to motivate Departments to document their good governance practices and
 - arrange to collect practices in the proforma (prescribed by the Department Administrative Reforms, GOI) and
 - send the collected practices to the Director, State Administrative Training Institute of the State/UT which will be the collection centre for the purpose.
 - The Administrative Training Institute will lend institutional support to Secretary (Administrative Reforms) for documentation and dissemination of such good governance practice.
7. In case of **Central Training Institute**:-
- Head of the Institute will be the Nodal Officer to send proposals in the prescribed proforma.
8. The beneficiary State/UTs is required to form a Committee of Secretaries of State concerned comprising Secretary GAD or Secretary Administrative Reforms as Chairman, Director ATI and one expert from outside to identify and validate the practices.
9. The beneficiary State/UT Government or Central Training Institute are required to send the proposal/s to the DARPG. They would be required to furnish the following information while sending their proposals for documentation of various practices/initiatives in good governance (as per Annexure-I):
- i) Details of each practice/initiative in good governance;
 - ii) whether the documentation for these initiatives will be undertaken by State Government itself or with the assistance of any professional agency after following due process of outsourcing the projects;
 - iii) Total estimated expenditure likely to be incurred on documentation and dissemination.

- iv) Time frame for each activity for completion of the documentation process;
- v) Whether any financial assistance has been received by other sources in respect of the project for documentation purposes and if so, details thereof.
- vi) Whether any documentation has been made on the initiative earlier.

10. The Secretary, DAR&PG will constitute a suitable Evaluation Committee which may consist of Additional Secretary/Special Secretary/Joint Secretary of DARPG and 2-4 designated Dy. Secretary/Director and one representative from the Integrated Finance Division. DS/Director (D&D) will be the convener of the Committee. The final selection as well as the quantum of financial assistance (**upto Rs.2,00,000/-**) will be decided by the Evaluation Committee.

11. After obtaining the approval of the Committee to the proposal, concerned State/UT Government or Central Training Institute will be advised to initiate the process of documentation.

PROCESSES FOR DOCUMENTATION OF GOOD GOVERNANCE PRACTICES

12. Documentation of exemplary work is a permanent record that may be consulted for policy framing and execution so that the lessons may be learnt and experience shared. Therefore, the beneficiary State/UT or Central Training Institute is required to bring out a compilation of successful practices in **e-book form** (electronic form) only.

13. On acceptance of the draft documentation report by the Chairman of the Evaluation Committee, DARPG, the beneficiary State/UT or Central Training Institute may initiate the process for making the document in e-book form.

14. The documentation of a best practice should have broadly the following elements:

- Situation before the practice
- Encounters and challenges faced by the innovators
- Strategy adopted
- Business process reengineering, if any
- Results achieved/anticipated.
- Financial Savings
- Improvement in efficiency/ productivity/ Reduction of waiting time
- Scalability of the project
- Simplification of procedure,
- Adaptability
- Sustainability
- Lessons learnt
- Replicability
- Response of State Govt./Local authority/Agency

15.A The cover page of the document shall acknowledge the support provided by the Department in bringing out the e-book.

15.B. There shall be no changes/additions to the document in e-book form after approval of the Department. There shall be no addition of prefaces/messages in the document after approval of the draft by the Department.

DISSEMINATION

16. The objective of promotion of good governance may not be achieved unless detailed information about the particular practice and what is happening elsewhere in the country is available to all. The document may be disseminated to the political leadership, policy and decision makers, implementing agencies, beneficiaries and public at large, to provide guidance, create awareness, learning of lessons; motivation and sharing of experiences. Hence, the beneficiary State/UTs or Central Training Institute is required to develop a regular system for the dissemination of practices amongst decision/policy making authorities and implementing agencies across the country. They may take the assistance of the media units of Ministry of Information and Broadcasting such as PIB, DAVP, Field Publicity Units, Publications Divisions and Directorate of Information and Publicity of States etc.

17. The beneficiary State/UT Government or Central Training Institute will make arrangements to provide the document in **e-Book** form (electronic) as well as **100 copies** of CDs/DVDs to DARPG for dissemination as under:-

- | | | |
|---|----|----|
| • Chief Secretaries of all States/UTs | -- | 36 |
| • Administrative Training Institutes / Central Training Institutes | -- | 56 |
| • For display in Civil Services day, Conferences, Workshops and Office Library etc. | -- | 08 |

Total: 100

18. The pictures/photographs used in the document should be in colour and having more than 72 dots per inch (dpi). The e-Book (electronic form) Documentation report may be uploaded in Department Websites as well as Governance Knowledge Centre (GKC) accessible at (www.indiagovernance.gov.in), etc. so that all such practices may be accessible at one place.

19. After submission of the document in e-book form, the concerned State/UT Government or Central Training Institute shall nominate a suitable officer not below the rank of Deputy Secretary for making a 15 minute presentation on the documented practice at Sardar Patel Bhawan, Conference Hall, New Delhi, as and when requested.

FINANCIAL ASSISTANCE

20. The Financial assistance may vary from case to case and will be restricted to an upper ceiling of Rupees two lakh [**Rs.2 lakh**] per case including the expenditure

incurred on data collection, surveys, preparation of reports, preparing e-book (electronic), copies of CDs/DVDs and mailing, etc.

21. States/UTs Governments or Central Training Institutes, while sending the proposal shall provide the cost estimates with breakup on costs likely to be incurred on various components including 100 copies of CDs/DVDs of documentation reports. Based on their cost estimates, the Evaluation Committee will deliberate on the quantum of financial assistance to be given in each case in its recommendations.

22. Financial assistance will be released to the concerned State/UT Administrative Training Institutes or CTIs in two installments as per the following deliverables and timelines:-

Sl. No.	Milestone	Deliverables	Maximum Timelines	Release of Funds
1.	Sanction of the project	-	Within 1 week from sanction of the project	1 st instalment i.e. 75% of the sanctioned cost
2.	Draft report of the documentation (e-book)	Satisfactory draft documentation report along with details of expenditure already incurred and likely to be incurred	Within 6 months from the date of release of the first installment	2 nd instalment i.e. remaining 25% of the balance amount or the required funds, whichever is less
3.	Final documentation report in e-book format	Submit 100 copies of CDs/DVDs of e-book (electronic version)/ Utilization Certificates, and return of balance unutilized amount, if any	Within 3 months from the date of release of the second installment.	----

COMPLIANCE OF TIMELINES

23. The entire documentation project should be completed in a maximum period of **9 months**.

24. The timeline stipulated in the guidelines to be adhered to. The State/UT Governments/CTIs which submit their documentation report within the stipulated time will be given preference while sanctioning new proposals for financial assistance for professional documentation in the next year.

25. However, for the States/UTs Governments or CTIs which could not complete the project in stipulated time, none of their projects for professional documentation may be considered for granting of financial assistance in the next year.

Proforma for sending Proposals seeking Financial Assistance for Professional Documentation of Good Governance Practice

S.No.	Items	Detail
1.	Details of each good governance practices proposed for documentation: <ul style="list-style-type: none"> • Title of the Practice • Name of Innovator (Individual/Organization) • Synopsis of the Practice (in about 150 words) • Uniqueness of the Practice • Tangible gains • Cost Effectiveness and Citizen Centricity/Friendliness • Observation/Recommendation of Evaluation Study / Feedback undertaken • Sustainability • Lessons Learnt • Replicability • Any other information relevant to the practice 	To be given in Separate Sheet
2.	Whether any Documentation report is made on the initiative;	
3.	Whether any financial assistance has already been received in respect of the project for documentation purposes and if so, details thereof	
4.	Whether the documentation of these initiatives will be undertaken by State/UT Government / Central Training Institute itself or with the assistance of any professional agency after following due process;	
5.	If documentation will be undertaken by professional agency, details of the said professional agency(s) such as name, address, experience etc; (if available)	
6.	Estimated Expenditure on documentation and dissemination (with break-up of likely cost of each components including e-book form & 100 copies of CDs/DVDs.	Break-up to be given in separate sheet
7.	Details for release of funds through e-payment: Name of the Accountholder of concerned Department/ Training Institute <ul style="list-style-type: none"> • Account Number • Name & Address of the Bank and its Branch • Branch Code • IFSC Code/MICR code 	
8.	Time Frame for completing the documentation: <ul style="list-style-type: none"> • Submission of draft documentation report • Submission of Modified draft documentation report, if required) • Accepted documentation report in e-book form alongwith 100 copies of CDs/DVDs and sending the same 	

Name & Designation of
Recommending Authority
