

FRAMEWORK FOR
ASSESSING STATE OF GOVERNANCE

TOOLKIT



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and Public Grievances
Government of India
New Delhi**



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About the Toolkit

It is being increasingly realized that the quality of governance is fundamental to a country's/state's success in terms of long term economic growth, enhancement of human welfare and societal development. Although the focus of our democratic polity is gradually shifting towards deliverance of better governance, its formal assessment has by and large been neglected or remained partial.

Centre for Good Governance Hyderabad has developed a framework for assessing governance which has been tested in three states by AC Nielsen – ORG Marg. This was part of project undertaken by CGG and AC Nielsen ORG Marg for Department of Administrative Reforms and Public Grievances, Government of India in 2007-09.

This toolkit provides a practical guide for assessing the quality of governance at the state level through a simple, user friendly and generic methodology. This toolkit can be used by any state government (and partner agencies) to assess the quality of governance at the state level. It can also be used by any watch dog agency, civil society organization or research organization.

Chapter 1 - Framework for Assessing the Quality of Governance

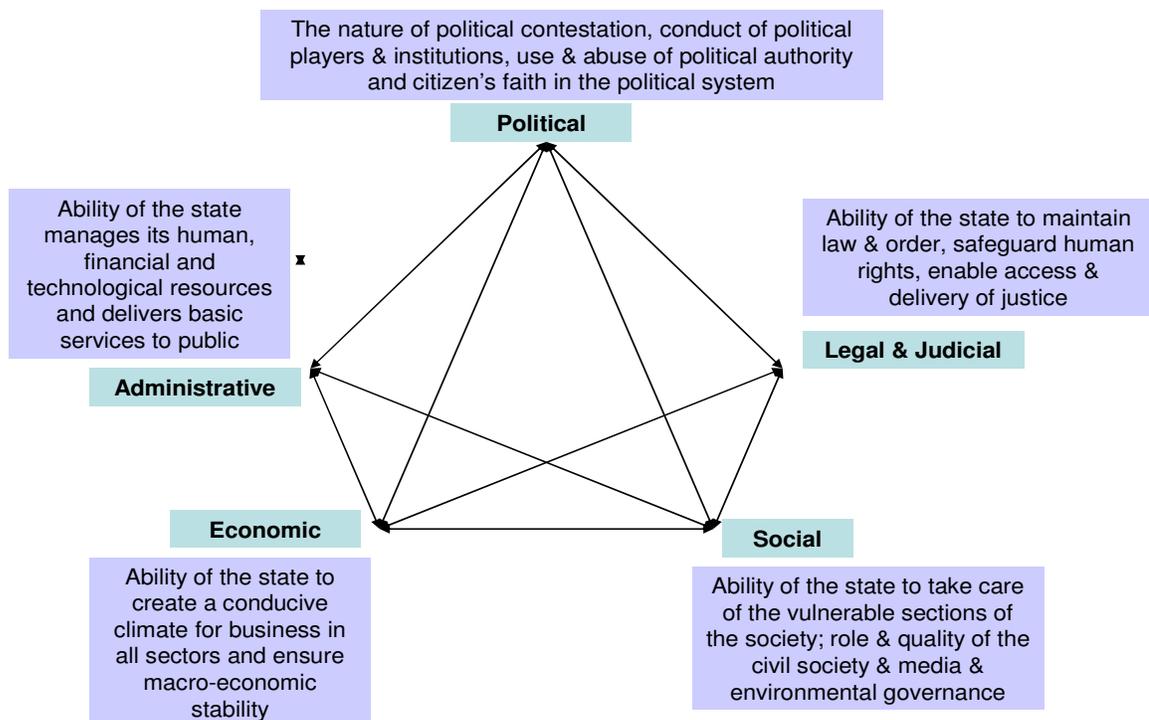
Although governance has been defined variously by different people depending upon the context and perspective, there is agreement over the broad elements of governance namely,

- a. the process whereby elements in society wield power and authority, and influence and enact policies and decisions concerning public life, and economic and social development,
- b. the capacity of governments to manage resources efficiently and to formulate, implement, and enforce sound policies and regulations;

However, the similarities in definitional aspects do not easily lend themselves to either understanding what constitutes governance not its measurement. This is evident in the different approaches adopted for deconstructing and measuring governance by various agencies including multilateral organizations, and which differ markedly from each other.

The suggested framework attempts to bring into its fold different stakeholders in the governance process namely the government, the private sector, the civil society and the citizen. At the same time, it also recognizes that the State as the Constitutional authority for exercising power on behalf of the citizens has a primary role to play in the governance process.

In order to assess governance, it has been first deconstructed into five broad **dimensions** – Political, Legal & Judicial, Administrative, Economic and Social.



Each dimension is further broken down into **components** that are basically a group of

interrelated aspects which together make up the dimension.

The components/sub-dimensions within each dimension is given in the table below.

Dimensions					
	Political	Legal / Judicial	Administrative	Economic	Social/Environmental
Components	1. Exercise of Franchise	1. General conditions of Rule of Law & Internal Security	1. Citizen orientation, responsiveness & transparency & Use of IT	1. Fiscal Governance	1. Welfare of the Poor & Vulnerable sections
	2. Profile & Conduct of Political Representatives	2. Accessibility, Approachability & Citizen-friendliness of the Police	2. Managing Human Resources	2. Business Environment	2. Role of Civil Society
	3. Conduct of Political parties & Legislative	3. Police Administration & Functioning	3. Financial Management	3. Support to the Primary Sector	3. Role of Media
	4. Quality/ Functioning of the Political Executive	4. Access to Justice & Judicial Administration	4. Basic Service Delivery		4. Environmental Management
	5. Political Decentralisation		5. Corruption Perception, Vigilance & Enforcement		

Component is the basic unit of governance that is sought to be assessed or measured. Accordingly, each component has related governance **indicators** that provide the measure. Underlying every indicator is a key principle of governance.

The framework consists of 164 governance indicators, the distribution of which along each governance dimension is given below:

Governance dimension	No. of Indicators
Political	24
Legal/ Judicial	33
Administrative	52
Economic	25
Social	30
Total	164

The governance indicators have been chosen from a variety of sources and are characterized by the following:

- Each indicator is contextualized within a particular governance dimension & component as well as relating to particular stakeholder(s)

- They primarily relate to process variables and, to a limited extent, on outputs given that they seek to measure governance and not development outcomes
- Each governance indicator characterizes one or more of basic governance principle which include Accountability, Transparency, Equity, Performance (effectiveness and efficiency), Participation / voice, Rule of Law, Strategic vision, Lack of arbitrariness, Ethics and integrity etc.

There is judicious mix of subjective (primary) and objective (data) indicators.

The governance indicator framework is given in Annex 5.

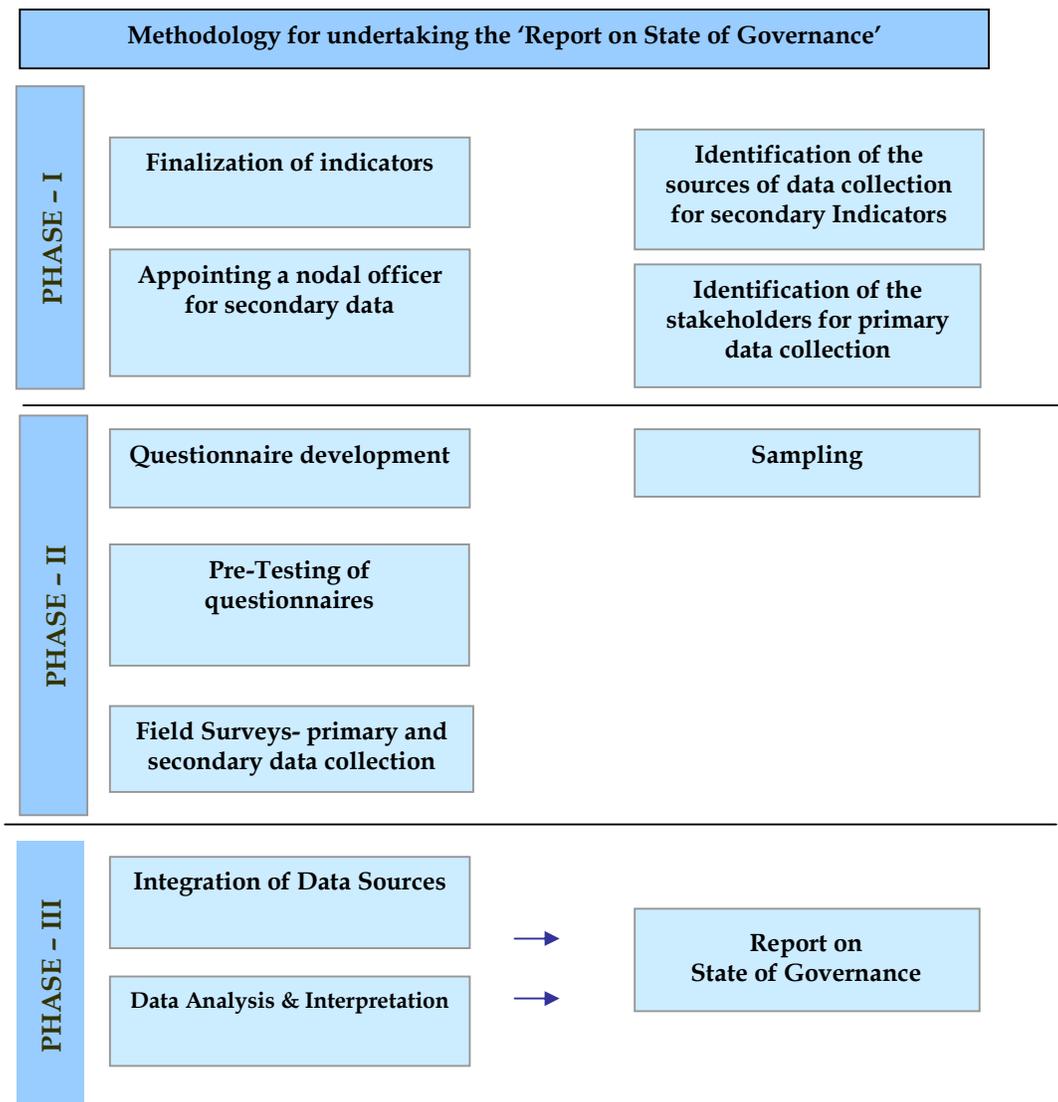
The indicator list has been finalized in consultation with a wide range of stakeholders including policy makers, subject experts, civil society etc. The indicators have been finalized after the framework has been field tested in three states. However it is not sacrosanct and a user state may modify or change indicators if required.

Chapter 2 - Study Methodology

2.1 Finalizing the Scope of the Study

A user state may adopt the indicators as given in this toolkit; or it may choose to delete, modify or add some indicators. As the list of indicators has been prepared after considerable deliberations, study and field testing, it is recommended that it be adopted by and large with a few modifications to suit the requirements of the state.

Once the indicators are finalized, a detailed secondary and primary data pertaining to the indicators needs to be gathered from across the state. The primary data has been included because they validate and supplement the secondary data and also provide valuable insight into why the stakeholders perceive governance in a particular way. This is very valuable information/ feedback to the policy makers to take up suitable measures for improving areas where the governance is relatively poor.



A detailed secondary and primary survey across the various stakeholders in the state should be undertaken to capture data pertaining to the indicators under the five different dimensions.

This information/feedback will help the policy makers to take up suitable measures for improvement in the areas where the governance scores are low.

2.2 Target groups for primary data collection

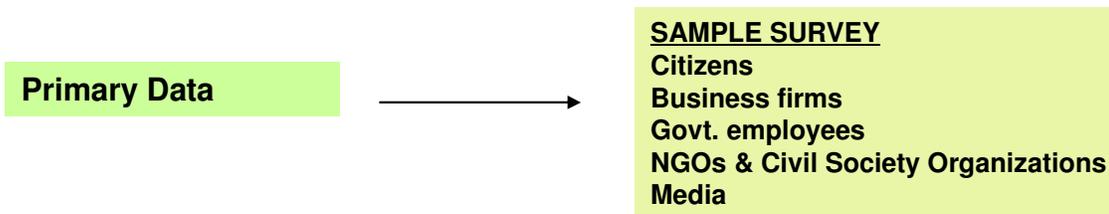


Figure A- Target groups and who to interview

Target group	Why select?	Whom to interview?
Citizens	They are affected by and in some ways affect the governance	An adult member of the household randomly selected using Kish grid
Government Employees	They determine governance in so far as they affect the services government delivers	Class I, II, III and IV personnel across various departments
Business Firms	They deal with the government machinery on a regular basis, hence considered a good source of feedback from user-perspective on conducive environment	An employee of the administrative department who deals with the government machinery for permissions and daily affairs
Representatives of media (print, audio-visual)	Media plays a major role in checks and balances of a democratic government; to play this role it requires conducive environment for functioning	Editor or sub-editor level personnel who is involved in decision making process regarding what is published or aired
NGOs and CSOs	They play an important role in voicing the interests of citizens and shaping the policy. They also participate in government programmes.	The in-charge or an employee of the set up who deals with the government machinery for permissions and day to day requirements

2.3 Collecting secondary data

The data from the above sources can further be associated with the secondary data from the following secondary sources:

Secondary Data



- Government websites
- Published secondary data
- Visiting the concerned source / key locations, where the required data is compiled and kept
- Collection of data through RTI can also be tried

The study methodology should have an in-built quality control system in place, which ensures authenticity of data collection.

Appointing a nodal officer

An officer of the State Government, who can take up the responsibility of coordinating the activity for secondary data collection, is essential. The nodal officer will be responsible for:

- Liaising with different departments under survey;
- Identifying the possible sources of the required data; and
- Ensuring timely availability and collection of data

Who can act as a nodal officer?

An officer at sufficiently senior level, who:

- has good rapport with the other departments; and
- is aware of the functioning of the other departmental machinery, specially about the availability of data / databases.

Chapter 3 - Methodology for data collection

3.1 Primary data

3.1.1. Designing the questionnaire

To operationalize the survey, a user-friendly research tool needs to be developed for collection of information. This is referred to as 'questionnaire'. The list of indicators provided in Annex 5 is the basis for the questionnaires. This list of indicators should be converted into questions which can easily elicit the response. The framing of the questions should be done carefully to ensure that the questions are easily understood by the respondent. A set of indicative questionnaires is given in the Annex 1.

The number of questionnaires to be developed will depend on the various target categories to be interviewed since a separate questionnaire needs to be designed for each of the categories.

Each of the specific questions should be directly linked with the indicators and care must be taken to note that the interpretation of the question remains the same. Most of the questions can be measured on a Likert scale of 1 to 5 (1 being the worst and 5 being the best).

The questionnaire should be translated and back translated in vernacular language for checking errors if it is originally developed in English. Finally a pretesting of the questionnaires should be undertaken.

3.1.2 Ascertaining the sample for survey

a. Finalizing the sample size

The crucial task in any sample survey is to decide the desired level of disaggregation of the universe under study to sub universes for the estimation purposes and arrive at a sample size at certain disaggregation levels. For example, if all the people in a state constitutes universe of the study, these sub universes could be SC/ST population, BPL population and minorities. In developing the Report on State of Governance estimates can be generated at a state level and also at the disaggregated level provided sample size is adequate for the purpose.

A minimum sample size of 364 is required at a state level to generate estimates for a given indicator P (proportion of citizens satisfied with the delivery of a particular service) with assumed value of 0.5 at universe level at 95% level of confidence with 5% level of margin of error. It should be noted that the sample size is independent of the universe. However this sample size need to be increased further if there is good deal of heterogeneity in the population for better representation. Heterogeneity can also be handled by stratifying the universe in to required number of strata so that within each stratum there is homogeneity. The allocated sample size for a stratum should be proportional to its size. The other reason for increasing the sample size is design effect.

The sample can be based on the formula below:

$$n = D * \frac{z^2 p (1-p)}{e^2}$$

Where

n	=	required sample size
z ²	=	square of the Z score at 95% level of confidence
p	=	prevalence of the indicator being measured (e.g. proportion of respondents satisfied with usage of a service)
e	=	margin of error to be tolerated
D	=	design effect

Estimation of proportion (p)

Since it is not feasible to have proportion estimates already available for this parameter (e.g. proportion of respondents satisfied with usage of a service) at the state level, the proportion value to be used in the formula is taken as 50% (or 0.5), which ensures the maximum sample size.

Permissible Margin of Error (e)

The permissible margin of error can vary from 5 to 10 percent or even slightly more depending upon the scope and financial constraints of the study.

Value of constant (z)

This is the value of z at a given confidence level. At 95 % level of confidence the value of z is 1.96.

Using the above formula with a 5 % possible margin of error a minimum sample of 364 at 95% confidence level can provide robust estimates without any design effect.

Design Effect: If the sampling frames [list of target population] are available for the subjects of study say citizens at universe level, then Simple Random Sampling [SRS] can be used to draw the required sample. However in reality, such frames would not be available hence we require to go for multi stage sampling with districts/towns, villages/wards and households (HH) as the units of sampling at different stages. Addition of a stage of sampling increases the standard error of the estimate. More number of stages (of sampling), higher will be the standard error of the estimate (in other words reduced precision in the estimate). To reduce the standard error as a result of increase in stages from that of SRS, we need to increase the sample size. The sample size for multi stage sampling is D times that sample size determined for SRS. D is called design effect, which is nothing but the ratio of the estimated standard error of the estimate arrived through multi stage sampling and the estimated standard error arrived through Simple Random Sampling procedure. The values of D are assumed based on the estimates of desired indicators and the standard errors published in other surveys, say National Family Health Surveys.

However if estimates need to be shown by urban, rural breakups and also by SC/ST, disadvantaged groups the sample size needs to be increased

In such situations, we work out the sample sizes sub universe wise by the above formula and pool up to get the over all sample size.

In generating a Report on State of Governance estimates needs to be generated for the citizen, employee, media, NGO and business firms. The confidence level and the error level for each of the stakeholders may vary according to the desired level of estimation.

Values have been given to different parameters as shown in the following Table. One can take these as minimum sample sizes required for conducting different surveys to assess the governance.

Type of Stakeholder	Value of p	Z at 95% CI/ 90% CL	D	e	Sample per State
Citizen Survey	0.5	1.96 (95%)	1.6	0.05	615
Employee Survey	0.5	1.64 (90%)	1.5	0.07	200
Survey among Business Firms	0.5	1.64 (90%)	1.2	0.08	125
Survey among NGOs/CSOs	0.5	1.64 (90%)	1.2	0.1	80
Media personnel	0.5	1.64 (90%)	1.2	0.1	80

b. Finalizing the sample design

It should be ensured that the proposed sampling design represents the universe in a proper way. As mentioned above, stratified random sampling is one approach for proper representation. Since the chance of variation within a homogenous group is low, the universe can be stratified into several homogeneous strata and a multistage stratified random sampling may be followed with districts as the first stage units, villages as the second stage and households as the third stage units. However, as mentioned above the increase in the number of stages reduces the level of precision (accuracy) and thus it is advised to reduce the number of stages of sampling to increase the precision of estimates of interest. For instance one can think of directly sampling the villages and wards without sampling of districts for rural areas and cities/towns for urban areas to increase the precision level of the desired estimates. Removal of one or more stages of sampling increase the spread. This would give better precision but would be operationally costly and time consuming.

The coverage and spread of the sample is mainly determined by the heterogeneity of the population. Normally larger states tend to have population heterogeneity but this may not be taken as a thumb rule for all the states.

There are certain states which are large with regional diversities and heterogeneous population. It is extremely important to make sure that the sample represents all sections of the society. Thus the number of districts and the sample size may vary from state to state. The following section provides a generic methodology of spreading the sample across the state such that the sample size represents the entire state.

Sampling Design - Citizens

A four stage stratified random sampling can be followed in generating the Report on the State of Governance. However the precision level can be increased by reducing the number of stages. As mentioned before one can directly think of selecting villages from the state without considering the districts. However this will imply additional time, cost and person power. If

the cost is not a consideration, one could obtain more precise results.

Stage 1: Selection of Districts

If it is decided to have districts as the first stage units of sampling, there are various random sampling procedures available to select the districts. Use of auxiliary information for stratifying them or ordering them prior to sampling would ensure better representation of different categories of districts than ordinary simple random sampling. The level of development determined by an index can be considered as the auxiliary information. All the districts were arranged in ascending order by the development index prepared by the Institute of Economic Growth. Using systematic random sampling procedure the required number of districts may be selected. The state sample may be allocated to the selected districts proportionately. Within each district the sample may be allocated to rural and urban areas proportionate to the respective population proportions.¹

The source of data for these variables can be taken from Centre for Monitoring Indian Economy (CMIE.)

Selecting the rural sample

Stage 2: Selection of Villages

Firstly in each of the selected district all the villages should be arranged in ascending order of magnitude by population and around 7 villages can be selected using probability proportional to size (PPS) systematic random sampling procedure. However, if the selection of districts can be avoided, the villages can be directly selected from the list of villages as the sampling frame by consulting 2001 Census data and following PPS systematic random sampling technique. At this stage also different sampling procedures could be followed for arriving at the required number of villages.

Stage 3: Selection of Households

For selection of households in each village, a transect walk should be conducted followed by a social mapping of the village in consultation with Panchayat Pradhan and members and other key informants in the village to identify the hamlets and the pattern of distribution of households. A minimum sample of 10 households should be selected using a systematic sampling with a random start. If there is more than one hamlet, the sample households should be allocated on a proportionate basis. The sampling interval needs to be calculated

¹The variables taken into account for developing the index are -

- a. Number of Hospitals beds per lakh population
- b. Number of ANMs per lakh population
- c. Female Literacy
- d. Industrial workers as % of main workers
- e. Gross area sown to total Geographical area
- f. %Gross Irrigated area to total cultivated area
- g. % of villages electrified
- h. % of villages with pucca Road
- i. Female Work participation

and the households selected as per the sampling interval with a random start.

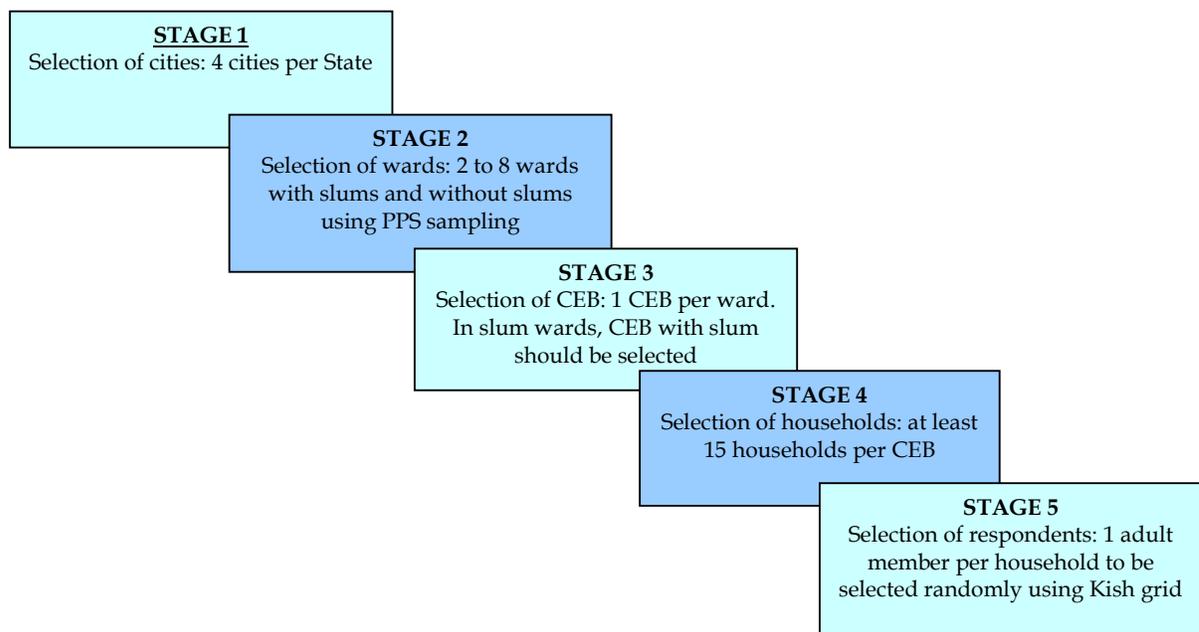
Stage 4: Selection of Respondents

Using Kish Grid [please see Annexure- 4] to select one adult member of the household for interview will ensure **randomness in selection**.

Urban Sampling

For better coverage of urban areas, we suggest:

- City/ town sampling after classifying them according to population size say in to four strata
 - 1) Cities with 10+ lakh population,
 - 2) 5 to 10 lakh,
 - 3) 1 to 5 lakh
 - 4) 50 thousand to 1 lakh,
 - 5) below 50 thousand population
- We may allocate the urban sample to the above strata proportion to their population sizes. Within each stratum the number of towns to be selected can be decided by fixing sample size per city /town. Within each stratum the required number of Towns /Cities can be selected following PPS Systematic random sampling procedure.
- Within selected town the number of wards can be decided by fixing sample size per ward.
- Then in each selected city the wards can be selected using PPS systematic random sampling, the population of the wards can be taken from the latest census, currently it is 2001 Census.
- In each ward one or two Census Enumeration Block can be selected as per the sample size given at ward level.



If separate estimates need to be generated for the urban and rural areas the number of villages and cities and household within the village or the ward can be increased as per the requirement.

c. Weights Estimation and Validation

Once the survey, data processing is over, based on the sampling design and allocation of samples to different sub groups of population, there is a need to develop the weights. Then the estimates can be arrived at. The data can be validated for its representation of the general population, by comparing some HH and individual variables with those available in the secondary data sources.

d. Survey among Employees

It has been envisaged that one of the important stakeholders of information collection are Government employees. It is indeed a challenge to identify the universe of Govt. Employees by departments and by grades. It is essential to cover employees from the several departments. The first important step necessary to undertake the employee survey is to develop the universe of employees in the state by departments and grades.

For example if employees were to be covered from four major Government departments namely Law, Health & Family Welfare, Education and Water & Sanitation, the information on spread of the category of employees in each of these departments (across grade I, II, III and IV) should be collected to arrive at pooled estimates at a state level. A sample size of around 150 employees would provide estimates at a state level at 90% confidence with 8% margin of error for each of the indicators. Within each department it is difficult to make an equal allocation as number of employees in the lower grade is more. However if the universe of employees is made available, proper representation can be ensured. At the end the estimates will need to be weighted to generate pooled robust estimates.

Use of Employee data will be more meaningful if there is some MIS developed which gives us the desired sampling frames

e. Survey among Business Firms and traders

In developing a Report on the State of Governance a sample of 125 business firms can be targeted across a given state to throw light on the business environment in the state. Business firms should be stratified under small scale units, medium sized firms and large firms. The list of the firms can be collected from the leading Chamber of Commerce of the state and about 30 firms and traders under each category can be selected randomly.

However it can be difficult to prepare a composite list of Business Firms from the leading Chambers of Commerce in the State. In such cases private databases pertaining to several corporate houses can be used to generate the sampling frame.

f. Survey among NGOs/CSOs

A suitable representative sample of NGOs and civil society organizations (CSO) needs to be selected, which spreads over the entire state. The NGOs and CSO working particularly in fields of health, sanitation, drinking water, education, rehabilitation, rural development,

poverty alleviation, etc. should be listed and the required number of NGOs in each sector should be selected.

g. Survey among Media Personnel

Media plays an important role in creating awareness and thus should be included in assessing the state of governance. In each state about 30 media personnel, including both print and audio visual should be interviewed to get their feedback about the governance indicators.

3.1.3 Selecting an organization for conducting the survey

To operationalise the survey a survey research agency/ firm should be appointed. This can be done by calling Expression of Interest followed by a request for proposal to the screened organisations with specific terms of reference (ToR) (refer annex 3 for sample ToR) in local newspapers or sending letters to organizations that are involved in this kind of activity, inviting technical and financial bids. The organization should be selected based on their technical know-how and should have previously demonstrated successful execution of such surveys. The State will have to take a decision on the funds to be allocated for this exercise, but technical bids should be given more weight since the survey is a technical exercise. Not all organizations may have the expertise or experience of conducting such surveys.

Once the survey organization/firm has been finalized, one official from the State Government who has been involved since the conceptualization stage of the survey should be involved in the training and monitoring processes.

3.1.4 Pre-testing and finalizing the tools for data collection

Before beginning the data collection process, the questionnaires which have been framed need to be tested in the field to ensure they are working optimally. The questionnaire should be translated and back translated to and from vernacular language for checking errors. Finally a pretesting of the questionnaires needs to be undertaken.

Why undertake the pre-testing exercise?

Pre-testing should be undertaken to check:

- Whether the respondents understand the purpose of the exercise
- Whether the respondents have any difficulty in understanding the questions
- If the questionnaire is too long
- Whether the translation is appropriate
- Were the questions ordered properly
- Whether the questions can generate estimates for the indicators correctly

Who should be included in the pre-testing exercise?

Population NOT included in the sample but having similar characteristics as the sample population in terms of geographical characteristics (terrain, location from district headquarters and access to amenities) and socio-economic characteristics (literacy level, occupation, housing conditions, etc.) should be involved for pre-testing.

Who should conduct the pre-testing exercise?

Pre-testing exercise should ideally be conducted by a researcher or a person who understands research extensively. Each person who conducts the pre-testing exercise should prepare a report on the basis of his/her experience on the field addressing the above questions. The reports should be consolidated and necessary changes should be incorporated in the questionnaire(s) before finalizing the questionnaire, after discussing with all stakeholders involved in the survey process.

3.2 Secondary data

For collection of secondary data, the nodal officer will play a crucial role. All departments from where the data is required should be identified. It is recommended that the nodal officer writes to these departments requesting their co-operation. Since it may take some time for the departments to compile the data in the required format, it is advisable to keep at least 1 to 2 months for this data collection process.

Chapter 4 - Implementing the data collection

4.1 Collection of Primary Data

4.1.1 Development of a training manual

To maintain consistency in recording observations and data collection process, training manual² needs to be developed. This training manual should consist of:

- Background and aim of the study
- Details on sampling and methodology
- Method to be followed in filling up the questionnaires
- How to check completed questionnaires
- How to deploy quality control checks to ensure good quality data

4.1.2 Mobilizing the field teams

The interviewers, as far as possible, should be a mix of women and men. They should be educated at least up to graduation and should be local residents of the state. They should be conversant in speaking and reading/writing in the local language which will be used for interviewing during the survey. The field team should consist of:

- State field manager/ controller - who will coordinate the work across the different survey teams and will be accountable for timeliness and quality of survey
- Supervisors- who will be responsible for smaller teams of 4 to 5 interviewers
- Interviewers- who will conduct the interviews

4.1.3 Training of Trainers

Agenda of the ToT:

- Orient the field managers to the background of the survey to be conducted for Report on State of Governance.
- Make them thoroughly aware of the need for the study and the procedures to be adopted for data collection and quality assurance.
- Acquaint them with the survey instruments so that they can in turn train the supervisors and interviewers.
- Make them aware of the possible problems they might face in the field and how these could be handled.
- Explain the procedure of sample selection. Sampling should be done at the level of research professionals or statisticians.

a. Why is it required?

For the purpose of training, it may not be viable to bring all interviewers and supervisors in

² Sample training manual given in annex 2

one location. In that case, a training of trainers is required so that the field managers are thoroughly oriented to the survey, who can in turn train their respective teams of interviewers and supervisors.

b. Who should conduct training of trainers (ToT)?

Professionals who are thorough with the background of the survey and who understand the basics of survey research

4.1.4 Training of interviewers and supervisors

After the ToT, the trainers (field managers) need to train the interviewers and supervisors. This training should include all aspects as mentioned for ToT but stress should be laid on how to successfully complete an interview.

Although some people are more skilled at interviewing than others, one can become a good interviewer through experience. The training of interviewers and supervisors should consist of a combination of classroom training and practical experience. Before each training session, the training manual should be studied carefully along with the questionnaires. Any questions which emerge at this point should be written down and asked during the training session. Interviewers can learn a lot from each other by asking questions and talking about situations encountered in practice and actual interview situations.

All interviewers and supervisors should be given a package having the following things which should be kept at all times during the training and field work.

- Training manual
- A set of all questionnaires to be used for the survey

The following should be included in the training:

- Detailed discussions on
 - Questionnaire sections
 - Questions
 - instructions
- Demonstrate interviews by conducting them in front of the class as examples of the interviewing process.
- Practice reading the questionnaire aloud to another person several times so that one becomes comfortable with reading the questions aloud.
- Role plays should be conducted in which interviewers and supervisors practice by interviewing another trainee
- Field practice interviewing in which the trainee will actually interview household respondents. They should also check and edit the questionnaires just as they would do in the actual fieldwork assignments

At the end of the training, the interviewers and supervisors should appear for a test which

will form the basis for their selection into the field team.

Training of the interviewers does not end with the formal training period.

Each time a supervisor or field manager meets with the interviewers to discuss their work, the training would continue. This is particularly important during the first few days of fieldwork. As the interviewers may encounter situations which may not have been envisaged during the training, it will be helpful to discuss them with the team as and when they face difficulties. Other interviewers may run into similar problems, so the entire team can benefit from each other's experiences.

a. Supervisor's role

The supervisor will play a crucial role in this survey.

- Citizen survey
 - Supervise the data collection process conducted by the interviewers
 - Assign work to the interviewers on a daily basis (e.g. number of calls, households where interviews have to be conducted, etc.)
 - Back check some of the interviews as per guidelines
 - Accompany the interviewers to the interview in the initial stages to ensure that the interviewers are comfortable with the questionnaire
 - Check the questionnaires filled up by interviewers to ensure that they are complete and responses are neatly and legibly recorded. They also need to scrutinize the questionnaires for any inconsistencies.
- Survey among government employees
 - Identify exact locations of the departments where the survey needs to be conducted
 - There may be reluctance on part of the employees to respond unless they have obtained due permission from the superior officials, the higher level functionaries should be approached by the supervisor to obtain the required permission
 - Supervisors should conduct the interviews among class 2 officials while field manager should interview class 1 officials. As far as possible, supervisors should conduct interviews among class 3 and 4 officials; if that is not possible, experienced interviewers should be deployed for this work.
- Survey among media personnel
 - Identify the people associated with different type of media (print, audio and audio-visual) and take appointments for the interviews
 - Conduct interviews among the selected and approached media personnel
- Survey among NGO/CSO employees
 - The supervisor's role here will be to contact the NGOs and take appointments

- As far as possible, supervisor should also conduct interviews among this target segment
- Survey among employees of business firms
 - The supervisor's role here is to contact the right person in the administrative department of the business unit being contacted
 - If s/he is a senior official, the supervisor should conduct the interview

b. Interviewer's role

The role of the interviewer is crucial in the survey since s/he collects information from respondents. Therefore, the success of the survey depends on the quality of each interviewer's work.

In general, the responsibilities of an interviewer include the following:

- Locating the structures and households in the sample, and completing the Citizens' Questionnaire
- Identifying the eligible respondents in those households
- Interviewing the eligible person in the household using the given questionnaire
- Checking completed interviews to be sure that all questions were asked and the responses are neatly and legibly recorded
- Returning to households to interview respondents who could not be interviewed during the initial visit

4.1.5 Collecting data from the field

a. How to select the respondent

- Citizen survey: Of all the members of the household who are above 18 years of age, one member should be selected for the interview using the Kish grid (annex-4). Kish grid is a table which provides an opportunity to select a household member randomly, thus giving each eligible member a chance to be selected
- Survey among employees of business firms, NGOs/ CSOs, media personnel and government employees should be done according to paragraph 3.1.2 (d), (e) and (f).

b. Building rapport with the respondent

The following points should be followed to make the respondent comfortable and willing to respond to the questions in the interview

- Make a good first impression.
- Always have a positive approach.
- Stress confidentiality of responses when necessary.
- Answer any questions from the respondent frankly.
- Interview the respondent alone.

c. Tips for conducting the interview

- Be neutral throughout the interview.
- Never suggest answers to the respondent.
- Do not change the wording or sequence of questions.
- Handle hesitant respondents tactfully.
- Do not form expectations.
- Do not hurry the interview.
- Use diversionary tactics if necessary.

d. Language of the interview

The questionnaires should be translated in the local language. However, there may be times when an interpreter is required or wordings modified to fit local dialects and culture. It is very important not to change the meaning of the question when they are rephrased or interpreted in another language.

One of the first things which need to be done when a household is approached is to establish the language or languages that are spoken there. The field teams should be arranged in such a way that they work in an area in which the language which they are comfortable with is spoken, so there should not be many cases in which respondents do not speak the same language as the interviewer. In such cases interviewer might be able to find another language that both of them speak and will be able to conduct the interview in that language.

However, in some cases, it will not be possible for you to find a language which both the interviewer and the respondent speak. In this case, the interviewer should try to find out if the respondent speaks a language which another member of the team or the team supervisor can speak. If so, the supervisor should be alerted so that he or she can arrange for that person to conduct the interview.

If the respondent does not speak a language which any of the team members speak, the interviewer will need to rely on a third person to translate for him/her. But one should try to avoid using interpreters if at all possible since this can jeopardize the quality of the interview.

e. Problems in contacting respondents

Since the sample will be spread over several districts and categories of respondents, the field team will need to take some on the spot measures to complete the survey in time.

Some of the commonly faced problems in field are listed below. If any other problem/situation arises during the course of the fieldwork, the field manager should intervene and provide solutions to the field team after due consultation with the research team.

Situation: Respondent is reluctant to participate in the interview

Recommendation: The supervisor and at times the field manager/ coordinator should get involved in convincing the respondent to spend his/her time and successfully complete the interview.

The government employees may be reluctant in responding unless they get permission from their superior, in which case the field manager/coordinator may be required to intervene and obtain

necessary permission from the relevant person.

Situation: Randomly selected respondent (citizen survey) is not available for interview during the visit

Recommendation: The household should be re-visited to ensure coverage of the selected respondent, at a time convenient to the respondent

Situation: NGO/ CSO or business firm is not available at the listed address

Recommendation: Try to locate the new address of the establishment. If that is not possible, replace the same from the list of NGO/ CSO or business firm as the case may be. Snow-balling method can be adopted for these categories if it is seen that the lists are not very helpful.

Note: The project coordinator should be consulted before making any replacement and/or alterations in the sample. For some other problems, particularly related to media, NGOs and business firms, research professionals' guidance should be sought from time to time.

Situation: Respondents may be reluctant in giving an appointment

Recommendation: A re-visit is recommended in such a case. If required, the field manager/coordinator should try to convince them and intervene to set up the appointment

Situation: List of NGOs/ CSOs and business firms do not tally with existing addresses

Recommendation: Some margin should be kept in terms of time taken to complete the survey so that the NGOs and business firms in the sample can be covered. Snow-balling method can be adopted as suggested earlier for these categories if it is seen that the lists are not very helpful. It may be very difficult to get the time from the Media Personnel and thus additional time should be budgeted for.

Situation: Interview not completed

Recommendation: The interviewer should visit the household again at a time convenient to the respondent to complete the interview. At least 2 re-visits should be made in such cases. If even after one visit and 2 re-visits (3 visits in all) the interview does not get completed, the household should be replaced.

4.1.6 Coordination and Monitoring

The survey procedure mentioned in the above sections is expected to be intensive with large numbers of interviews to be conducted. Coordination and monitoring form an important part of the process. For coordinating the survey, as mentioned earlier, a field manager should be appointed to oversee the process and ensure completion of fieldwork.

'Quality control' is a continuous process during all phases of the study. The quality of translated questionnaires, training imparted to the investigators and supervisors, quality of briefing note and field methodology instructions note determines quality of the data to a great extent. However, there will be certain measures taken to control quality during the validation of mapping information, pilot and the main fieldwork as given below.

Different aspects of the Study	Steps to be taken to achieve better quality
Research Tool Preparation	<ul style="list-style-type: none"> • Feedback from stakeholders • Translation into vernacular languages and back translation
Pretesting	<ul style="list-style-type: none"> • To be conducted by Research Team and Field Professionals

Different aspects of the Study	Steps to be taken to achieve better quality
Sample size and sampling design	<ul style="list-style-type: none"> • Cost, time and the desired quality are important considerations. The study coordinator should consult survey experts
Selection of Enumerators	<ul style="list-style-type: none"> • Selection of “best of the best” by conducting a test
Fieldwork	<ul style="list-style-type: none"> • Preparation of a detailed Field Instruction Manual • This document will be the reference document for quality control of fieldwork. It shall include conduct for investigators and supervisors, communication and reporting, respondent selection criteria, fieldwork monitoring protocol during pilot and main survey, instructions for recording responses and coding, etc. • Back Checks by Supervisors (20%) • Spot Checks and Accompany calls (5%) • Scrutiny of Supervisors on the same day • Debriefing to the teams • The researchers will also be involved during the fieldwork of all phases and interact with investigators, supervisors and the field executives to have a detailed account of how the quality is being monitored • Field QC Team to Monitor the Quality
Coding and Scrutiny	<ul style="list-style-type: none"> • Preparation of Scrutiny Manual • Office Editing/Scrutiny and Coding • Regular Debriefing by Analysis and Research Teams to the Scrutiny and Coding Teams
Data Processing and Entry	<ul style="list-style-type: none"> • CS Pro – In built Consistency Checks • Checking of data after its entry
Data Analysis	<ul style="list-style-type: none"> • Preparation of the analysis plan by the advisors and the core team members • The analysis plan should be shared with the major stakeholders and analysis team and the suggestions incorporated before launching the fieldwork

a. Supervision and Quality Monitoring

Supervision and monitoring is very important for the quality of data being collected to be undertaken in tandem with all survey activities. All the filled in questionnaires and data should be scrutinized by the supervisor before leaving the area. The interviewers should be sent back to the respondent for clarification, if required. The above process would ensure completion of fieldwork in villages/ CEBs as per norms.

Besides the supervisors and field executives should be deployed in each state to closely monitor the fieldwork. Supervisor should brief the team on the problems found on a daily basis to the Field Manager. The field executives should check some filled in schedules for each team and clear their doubts, if any. They should also make back checks in 20 percent of the selected households. Regular reports should be sent to the project coordinator on the progress of the fieldwork, problems faced and to seek clarifications if any. The core study team members/ research professionals would also visit the field regularly to monitor the data quality.

b. Data Processing and Analysis

For processing the data, it is recommended to have one location identified to handle the entire set. The project coordinator and core team members of the research team should be involved in data checking before data entry. A senior system analyst with the support of a programmer will monitor the data entry at the data entry centers.

Before data entry each and every questionnaire should be scrutinised with respect to completeness and consistency of the questionnaires and coding of open ended questions. All office editors and supervisors should be briefed about scrutiny and coding procedures. The core study team members should also supervise entire scrutiny operation for monitoring the quality of output.

It is suggested that the data entry operation be carried out using a data entry and editing software. The data entry operation should be initiated within one week of receiving the first set of completed questionnaires. Computer based checks should be used to clean the data and the inconsistencies be resolved on the basis of the responses recorded in the questionnaires. The system analyst for the study as well as the core study team members should closely monitor the data entry operations.

The core team members and the system analyst under the guidance of the project co-ordinators and advisors will be responsible for preparing the analysis/tabulation plan. The analysis plan should be reviewed by the panel of experts and their suggestions be incorporated. The tabulation plan should be finalized in consultation with the concerned stakeholders. SPSS can be used for generating the required tables.

4.2 Collecting secondary data

Once the list of indicators for secondary data has been finalized, it should be converted into a check list which will make data collection easier for whoever takes up the task.

The government official who has been appointed as the nodal officer holds the responsibility

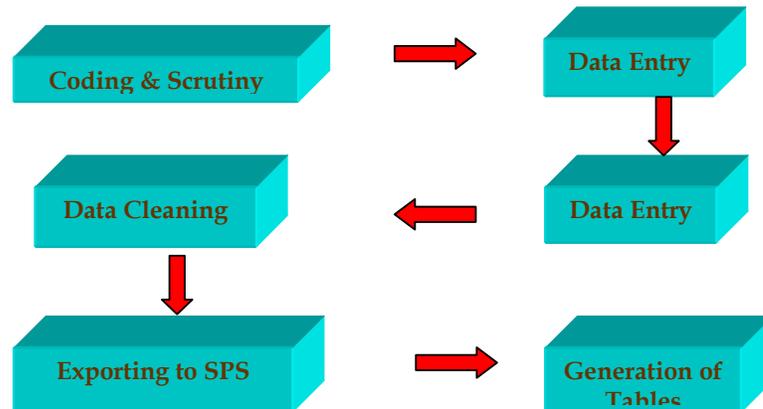
of helping the person in charge of collection of secondary data to get in touch with the right people in the concerned departments. The collected data should be documented efficiently in order that the analysis becomes simpler.

4.3 Challenges which can be expected

- a. Collection of secondary data may be a time consuming exercise. It may take weeks for the respective departments to collect and compile the desired data from their records.
- b. Since the State governments do not have an inter-departmental computer linkage, it is a task in itself to identify the right person who can provide the data.
- c. Data may not be available in the format which is requested. It may take considerable time for the departments to provide the same, especially data related to sensitive issues like judicial proceedings, criminal case data, etc.

Chapter 5 - Data Entry and Analysis

The following flow chart shows the procedure followed for data entry and analysis.



The following section describes each of the steps

a. Coding and Scrutiny

In most of the questionnaires a set of questions should be kept open ended which will be filled up in verbatim response. Before data entry it is required to assign codes to the responses, which makes the data analysis easier. This task is called “coding”. Simultaneously the questionnaire contains several skips and consistency checks which need to be maintained during capturing data at the field level. The task of checking the consistency of the flow of responses is called scrutiny. Thus “coding and scrutiny” is the first step of data processing. A team of coders can be mobilized, briefed and delegated the job of coding and scrutiny. The team leader should be given a list of scrutiny check points which the coders should follow strictly.

b. Data Entry Programme

After completion of the coding and scrutiny the data needs to be fed into the system. CS Pro can be used for generating the programme due to its distinct advantages over the other packages. Accordingly the following steps can be taken:

- The Programmer should be briefed about the project, questionnaire design and the range & consistency checks

- Necessary guidance to be provided to the Programmer to prepare the programme
- A test run to be given to ensure that the range checks and the consistency checks are in order
- The DE programme is uploaded in all the computers which are used for data entry

A sample screen copy of the data entry programme

The screenshot shows a data entry window titled 'CSEntry - (Apl File = HH.ent , Data File = HH-20)'. The window contains a table with the following columns and data:

Serial No.	Gender (3)	Age (4)	Relationship (5)	Marital status (6)	General standard of education (7)	Current attendance in education institution (8)	Usual Principal status (9)	Did this person migrate outside the village (10)	Has this person ever been identified as disabled by GMO (11)
1	1	35	1	3	2	2	1	2	2
2	1	7	5	2	1	3	10	2	1
3	1	6	5	1	3	1	7	2	2
4									
5									
6									
7									
8									

The status bar at the bottom shows 'For Help, press F1', 'No Partial: MODIFY', 'Field = S1Q4', 'Occurrence 1 of 4', and 'NUM'. The Windows taskbar at the bottom shows the Start button, several open applications including 'CSPro 3.3 - [HH.fmf]' and 'CSEntry - (Apl File = ...', and the system clock showing '5:05 PM'.

c. Data Entry

A parallel Data Entry Team comprising sufficient number of Data Entry professionals can be engaged for the job. The coded and scrutinized questionnaires should be handed over to the data entry team who enters the data.

d. Data Cleaning

After entry the data still can contain some consistency errors which need to be cleaned. For this purpose two programmes are required. The first programme lists down the errors in the entered data while the second programme cleans the data. If the list of errors exceeds 5 % the corresponding data should be taken out and re checked. However if the error is less than 5 % the error can be fixed programmatically.

Screen Copy of the Error Listing Programme

```

CSPro 2.5 - [cleanp.ord]
File Edit View Options Tools Window Help
{Application 'CLEANP' logic file generated by CSPro }
PROC GLOBAL
PROC SVYDIC_FF
PROC SVYDIC_QUEST
preproc
write("Questionnaire id = % d ,Urban/rural = %d ,Region = %d and Woreda = %d",id,rururb);
write(" *****");
PROC A2A
If $ = notappl then
write("Region can not be blank");
Endif;
PROC A2C
If $ = notappl and rururb = 1 then
write("Woreda can not be blank forrural questionnaire");
Endif;
PROC A3
If !($ in 1:4) then
write("A3 is out of range 1,e %d", $);
Endif;
PROC A4
If !($ in 1:6) then
write("A4 is out of range 1,e %d", $);
Endif;
PROC ASLANDR
If rururb = 1 and $ = notappl then
write("The quest. is rural i.e % d , but area in timad is empty",rururb);

```

For Help, press F1 Dictionary Order NUM

Start prog CSPro 2.5 - [cleanp.o... 12:33 AM

Screen Copy of the Error Output Generated

```

a1st.wrt - WordPad
File Edit View Insert Format Help
Questionnaire id = 64 ,Urban/rural = 2 ,Region = 14 and Woreda =
*****
The quest. is urban i.e 2 , but area in sqm is empty
B5 = 1 but B5a is blank
B5 = 1 but B5B are blank
C11a is blank
2E1 is 2 but 2E1a is blank
Questionnaire id = 65 ,Urban/rural = 2 ,Region = 14 and Woreda =
*****
C11a is blank
1A2 is 2 but 1A2b is out of range 1,e
2E1 is 2 but 2E1a is blank
Column G = 2 but column H is out of range = for serial no 6
Column G = 2 but column H is out of range = for serial no 7
Questionnaire id = 66 ,Urban/rural = 2 ,Region = 14 and Woreda =
*****
The quest. is urban i.e 2 , but area in sqm is empty
B5 = 1 but B5a is blank
B5 = 1 but B5B are blank
C11a is blank
Age is b/n 1 and 18 i.e 12 but column g is out of range = for serial no 6
Age is b/n 1 and 18 i.e 11 but column g is out of range = for serial no 7
Age is b/n 1 and 18 i.e 4 but column g is out of range = for serial no 8
Age is b/n 1 and 18 i.e 2 but column g is out of range = for serial no 9
Questionnaire id = 67 ,Urban/rural = 2 ,Region = 14 and Woreda =
*****
The quest. is urban i.e 2 , but area in sqm is empty
C11a is blank
1A1f = 1 but 1A1f(i) is blank
2E1 is 2 but 2E1a is blank

```

For Help, press F1 NUM

Start prog a1st.wrt - WordPad 12:34 AM

e. Exporting the data to SPSS and generation of tables

It is essential to export the data to SPSS or any other spread sheet format for analysis. In this case the data can be exported to SPSS. The data then can be used to generate required tables. Running all these steps will ensure that a subset of data has passed through all these steps and thus is cleaned for analysis.

A Screen Copy of the Exported Data

The screenshot shows the SPSS Data Editor window titled 'DataBase_Report_CARD2 - SPSS Data Editor'. The data is displayed in a grid with the following columns: b9.2, b10, b11, b12.1, b12.2, b12.3, b12.4, b12.5, b12.6, b12.7, b12.8, b12.9, and b12.10. The rows are numbered 1 through 31. The data values are binary (1 or 2). The status bar at the bottom indicates 'SPSS Processor is ready' and the system clock shows '11:23 AM'.

	b9.2	b10	b11	b12.1	b12.2	b12.3	b12.4	b12.5	b12.6	b12.7	b12.8	b12.9	b12.10
1	90	1	2	1	2	1	1	1	1	2	1	2	1
2	48	1	2	1	1	1	1	1	1	2	1	1	1
3	44	1	2	1	2	1	2	2	2	2	2	2	2
4	44	1	2	1	2	1	1	2	2	2	1	2	2
5	100	1	2	1	1	1	1	1	2	1	1	1	1
6	100	1	2	1	2	1	1	1	1	2	1	2	1
7	90	1	2	1	2	1	2	1	1	2	1	2	2
8	100	1	2	1	1	1	1	1	1	2	1	2	2
9	64	1	2	1	1	1	1	2	2	2	1	2	2
10	45	1	2	1	2	1	1	1	2	2	1	2	1
11	142	1	2	1	2	1	2	2	2	2	2	2	2
12	45	1	2	1	2	1	1	1	2	2	2	2	1
13	70	1	2	1	2	1	1	2	2	2	2	2	2
14	24	3	2	1	2	1	2	2	2	2	2	2	2
15	44	1	2	1	2	1	2	2	2	2	2	2	2
16	36	1	2	1	2	1	2	1	2	2	2	2	2
17	50	1	2	1	1	1	2	2	2	2	2	2	1
18	56	1	2	1	2	1	2	1	2	2	1	2	2
19	27	1	2	1	2	2	2	2	2	2	1	2	2
20	50	1	2	1	1	1	2	2	2	2	2	2	2
21	50	1	2	1	2	2	2	2	2	2	2	2	2
22	64	1	2	1	2	1	1	2	2	2	1	2	2
23	80	1	2	1	2	1	1	1	2	2	2	2	1
24	110	1	2	1	2	1	2	1	2	2	1	2	2
25	37	1	2	1	2	1	1	1	2	2	2	2	2
26	21	3	2	1	1	1	1	2	2	2	1	2	2
27	35	1	2	1	2	1	1	1	1	2	1	2	2
28	21	3	2	1	2	1	2	2	2	2	2	2	2
29	18	1	2	1	2	1	1	2	2	2	2	2	2
30	32	1	2	1	2	1	2	2	2	2	2	2	2
31	44	1	2	1	2	1	2	2	2	2	1	2	2

Chapter 6 - Analyzing the Study Findings

6.1 Validation of data

Before beginning the survey, a sampling procedure was adopted in such a way to ensure that the sample surveyed is representative of the entire population. After the data is collected from the field, it should be entered in a computerized programme to be able to generate basic tables and analyse the data further. Once the basic tables are generated, few indicators should be matched with existing databases to ensure that the sample characteristics match the population characteristics. The following matrix can be adopted for the same. It may be noted there are two data sources recommended here, Census of India 2001 and NFHS 3 (National Family Health Survey). NFHS 3 is recommended here since it is the latest and most comprehensive database available. If the data from survey varies to a great degree from the existing data bases, it indicates that the survey findings should be interpreted in view of these differences.

		STATE		
		Survey	NFHS 3	Census
Population	Rural			
	Urban			
Caste of HoH ³	SC			
	ST			
	General/ OBC			
Religion of HoH	Hinduism			
	Others			
Sex ratio				
Proportion of households having electricity				

6.2 Tabulation

Once the data entry, basic table generation and validation of data are done, the data needs to be analysed further to be able to generate a report. This will include a set of tables having univariate, bivariate as well as multivariate analysis to comment on salient findings from the survey. For this analysis, an analysis plan should be agreed upon by the statistician/ research agency in consultation with the state government to ensure that the required analysis is done. This will also help to focus on the necessary and required analyses.

6.3 Indexing and Aggregation

6.3.1 Backdrop and the tasks

The indices for the report on State of governance need to be generated by each dimension. As mentioned in the previous section each dimension is divided into several components where each component comprises a set of indicators, data on which is generated from primary and secondary sources. Based on the data collected/generated aggregated weighted index needs to be developed including primary and secondary data at component and dimension level.

³ HoH=Head of Household

The following section provides an overall methodology for generating the index.

Step 1: Mapping and applying Principal Component Analysis (PCA) at a component level

The first and foremost task is to identify the indicators generated from the citizen’s survey within each component. Each indicator needs to be converted into positive direction with respect to good governance. This implies if an indicator shows the proportion of people strongly agreeing that “law and order situation has deteriorated in the last two years” the indicator needs to be reversed by subtracting the proportion from 1. Else in SPSS data format the order of the codes pertaining to “strongly agree” to “strongly disagree” needs to be reversed. PCA needs to be conducted at a state level taking the individual responses in the citizen survey to generate the necessary weights for computing the component values to be attached to each respondent. The formula used to calculate is given below:

$$C_{ik} = \sum_{J=1}^4 \frac{(X_{ijk} - \bar{X}_{ij}) \times W_{ij}}{s_{ij}}$$

C_{ik} =the estimated value of the i th component of a given dimension attached to the k th HH

X_{ijk} :: The Value of the K th Household for J th Indicator of I th component of a given Dimension

\bar{X}_{ij} : The Mean Value of the J th Indicator Of I th Component of a given Dimension

W_{ij} : The Weight Obtained through PCA for the J th Indicator of the I th Component of a given Dimension

s_{ij} =The Standard Deviation Of The J th Indicator Of I th Component Of A Given Dimension

n_i = The number of indicators which constitute the i th component of a given dimension

Step 2: PCA to generate Component wise weights

Using above calculated values of different components of the given dimension attached different HHs, PCA will be again applied to generate component wise weights [W_{ci}] which will show the relative importance of the component within a dimension

Step 3: Dimension level index

The weights [W_{ci}] obtained in step 2 will be taken into consideration and considering the component wise indicators of a given dimension regardless of the source (primary or secondary) the following computation will be done. The values of these indicators should lie between 0 and 1.

Component Index = $\frac{\text{sum of all the indicators of the component}}{\text{The number of indicators}} \times \text{normalized component weight}$

Normalized component weights= $[W_{ci}] / \sum [W_{ci}] \ i=1,2,\dots,N_c$

N_c =number of components of a given dimension

The above steps needs to be repeated for all components and all the values so obtained may be added to get dimension level index.

Annex 1

Questionnaires

Framework for Assessing State of Governance

Citizen Survey Schedule

Household Schedule No.

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Instructions:

- 1) A **HOUSEHOLD** is a person or group of persons who commonly live together under the same roof and take meals from the same kitchen. There may be a household of persons related by blood or a household of unrelated persons or having a mix of both. In some cases, one may find a group of people living together in the same structure, but each person has a separate eating arrangement – they should be treated as separate household. Please note that if any member of the household has been staying away from the family for over 6 months, he/she should not be considered as HH member.
- 2) Please fill appropriate ID codes in the following ID section using the **CODE LIST** provided to you.
- 3) Supervisor and office editors have to scrutinize the filled in questionnaires including the ID section.

IDENTIFICATION SECTION:

Sr. No.	Coding Category	Codes		
1	Name of the State _____	<table border="1"><tr><td></td><td></td></tr></table>		
2	Name of the District _____	<table border="1"><tr><td></td><td></td></tr></table>		
3	Name of the Block _____	<table border="1"><tr><td></td><td></td></tr></table>		
4	Name of the Gram Panchayat / Ward _____	<table border="1"><tr><td></td><td></td></tr></table>		

INTERVIEW DETAILS:

Date of interview		d	d	m	m	y	y						
Name of the interviewer													
Back checked by (Name)	Date	d	d	m	m	y	y						
Total number of visits													
SUPERVISOR (to be filled by interviewer)				EDITOR (to be filled by editor)									
Name								Name					
Date	d	d	m	m	y	y	Date	d	d	m	m	y	y

001	002		003		004		005	006		007
Line No:	Relationship with Head of the HH *		Sex		Age ** (In completed years)		Marital Status ***	Whether got name entered in the Voter's List (Ask for those aged 18 years and above)		Record the line number against each adult member aged 18 years or above in the column****
			M	F				Yes	No	
01		9 9	1	2				1	2	
02			1	2				1	2	
03			1	2				1	2	
04			1	2				1	2	
05			1	2				1	2	
06			1	2				1	2	
07			1	2				1	2	
08			1	2				1	2	
09			1	2				1	2	
10			1	2				1	2	
11			1	2				1	2	
12			1	2				1	2	
13			1	2				1	2	
14			1	2				1	2	
15			1	2				1	2	

**** This column is to be used only for random selection of one eligible respondent.

***MARITAL STATUS		*RELATIONSHIP WITH HHH			
Unmarried	1	Father	01	Cousin (brother)	12
Married	2	Mother	02	Cousin (sister)	13
Married but no 'gauna'	3	Spouse	03	Nephew	14
Separated / Deserted / Divorced	4	Son	04	Niece	15
Widow / Widower	5	Daughter	05	Grand Son	16
AGE **		Brother	06	Grand Daughter	17
If age < 1 year	00	Sister	07	Uncle	18
If age > 90 years	99	Daughter-in-law	08	Aunt	19
		Son-in-law	09	Head of Household	99
		Sister-in-law	10	Other _____	77
		Brother-in-law	11		

KISH TABLE

No. of eligible Respondents	LAST DIGIT OF THE HOUSEHOLD NUMBER									
	1	2	3	4	5	6	7	8	9	0
1	1	1	1	1	1	1	1	1	1	1
2	2	1	2	1	2	1	2	1	2	1
3	2	3	1	2	3	1	2	3	1	2
4	4	1	2	3	4	1	2	3	4	1
5	3	4	5	1	2	3	4	5	1	2
6	6	1	2	3	4	5	6	1	2	3
7	5	6	7	1	2	3	4	5	6	7
8	4	5	6	7	8	1	2	3	4	5

INSTRUCTION:

The selected eligible respondent in a given household **cannot** be substituted in case he / she is not available at the time of visit. The investigator must revisit the house (if possible) or trace the concerned from wherever he/she may be (if within the locality/village area) to meet the eligible respondents before deciding to drop any selected eligible respondent. The decision of dropping a selected eligible respondent must be taken in consultation with the Supervisor after evaluating all efforts at making the contact.

SECTION 1: DEMOGRAPHIC PROFILE OF THE RESPONDENT

Q. No	Questions	Responses	Codes	Skip
101.	Is the caste of the head of household a scheduled caste, scheduled tribe, other backward caste or none of them?	General SC ST OBC	1 2 3 4	
102.	What is the religion of the head of household?	Hindu Muslim Christian Sikh Jain Buddhist Others	1 2 3 4 5 6 7	
103.	Sex of respondent (record)	Male Female	1 2	

Q. No	Questions	Responses	Codes	Skip
104.	Do you live in a joint family, nuclear family or extended family?	Joint Nuclear Extended	1 2 3	
105.	Age of the respondent in completed years	<input type="text"/>		
106.	What is the highest degree / class of education that you have achieved?	Illiterate Literate but without formal schooling Less than primary Primary school (up to 5 th) Middle school (up to 8 th) High school /Matriculate (up to 10 th) Higher Secondary/ Intermediate (up to 12 th) Technical Education/ Diploma General Graduate Professional Degree Post Graduate and above Other	01 02 03 04 05 06 07 08 09 10 11 99	
107.	Please tell your occupation from which <i>most of the income</i> is generated for your household?	Farmer Fisherman/ herder/ Animal husbandry Agricultural wage labour Non-agricultural wage labour Unskilled work in government Skilled work in government Rural artisan Home based workers Manufacturing, industrial (owner) Work for panchayat Self employed professional Self employed worker Trader/retail business Retired and earning pension Other service (private sector), unskilled work Other service (private sector), skilled work Other	01 02 03 04 05 06 07 08 09 10 11 12 13 14 15 16 99	

Q. No	Questions	Responses	Codes	Skip
108.	Can you please tell me your approximate annual income from various sources? PLEASE RECORD SOURCE IF INCOME IS GENERATED FROM MORE THAN ONE OCCUPATION	1. _____ Rs. □□□□□□		
		2. _____ Rs.□□□□□□		
		3. _____ Rs.□□□□□□		
109.	Can you please tell me your marital status?	Married Divorced Separated/deserted Widow/widower Never married	1 2 3 4 5	
110.	ASK ONLY IF 01 IS NOT CIRCLED IN 106 How often do you read newspaper?	Daily More than once a week Once a week Occasionally Never	1 2 3 4 9	
111.	How often do you watch television	Daily More than once a week Once a week Occasionally Never	1 2 3 4 9	
112.	How often do you listen to the radio?	Daily More than once a week Once a week Occasionally Never	1 2 3 4 9	
	Does your household have:		Yes No	
113.	Electricity?	Electricity	1 2	
114.	A mattress?	Mattress	1 2	
115.	A pressure cooker?	Pressure Cooker	1 2	
116.	A chair?	Chair	1 2	
117.	A cot or bed?	Cot/Bed	1 2	
118.	A table?	Table	1 2	
119.	An electric fan?	Electric Fan	1 2	
120.	A radio or transistor?	Radio/Transistor	1 2	
121.	A black and white television?	B & W Television	1 2	No. <input type="checkbox"/>
122.	A colour television?	Colour Television	1 2	No. <input type="checkbox"/>
123.	A sewing machine?	Sewing Machine	1 2	
124.	A mobile telephone?	Mobile Telephone	1 2	No. <input type="checkbox"/>
125.	Any other type of telephone?	Any Other Telephone	1 2	No. <input type="checkbox"/>
126.	A computer?	Computer	1 2	No. <input type="checkbox"/>

Q. No	Questions	Responses	Codes	Skip	
127.	A refrigerator?	Refrigerator	1	2	No. <input type="checkbox"/>
128.	A watch or clock?	Watch/Clock	1	2	
129.	A bicycle?	Bicycle	1	2	
130.	A motorcycle or scooter?	Motorcycle/Scooter	1	2	
131.	An animal-drawn cart?	Animal-Drawn Cart	1	2	
132.	A car?	Car	1	2	
133.	A water pump?	Water Pump	1	2	
134.	A thresher?	Thresher	1	2	
135.	A tractor?	Tractor	1	2	
136.	LPG for cooking?	LPG for Cooking	1	2	
137.	Kerosene for cooking?	Kerosene for Cooking	1	2	
138.	A separate room used as a kitchen?	Separate Room Used as Kitchen	1	2	
139.	A flush toilet?	Flush Toilet	1	2	
140.	A soakage pit toilet?	A Soakage Pit Toilet	1	2	
141.	Source of drinking water	Pipe Water Supply (Tap, Standpost) Or Tubewell	1	2	

Please note the line number of the person who has provided the information in the matrix above.
Also please note his/her name.

Name of respondent: _____ Line number of respondent

SECTION 2: ECONOMIC PROFILE OF RESPONDENT

Q. No	Questions	Responses	Codes	Skip
201.	Please record the type of house of the respondent? INSTRUCTION: If floor, roof and walls are all made of permanent material (including stone or wood cement and/or bricks) then record the structure as pucca, if all three components are made of temporary materials, the structure is to be classified as kutcha, if any one of the components is temporary, then the structure is to be classified as semi-pucca.	Kutcha Semi pucca Pucca	1 2 3	
202.	How many rooms does your house have? (exclude kitchen, bath and toilet) INVESTIGATOR TO OBSERVE ALSO	Number <input type="text"/>		
203.	What is your economic status as per village list?	APL BPL Not Aware	1 2 3	
204.	What is your economic status as per ration card?	APL BPL AAY Do not own ration card	1 2 3 4	
205.	CHECK 005- HH ROSTER. ASK ONLY IF A WIDOW MEMBER EXISTS IN THE HOUSEHOLD Does any member in your family receive widow pension?	Yes No	1 2	Skip to 207
206.	How many members in your family receive widow pension?	Number		
207.	During the past one year were there any instances when members of your household did not get 2 full stomach meals in a day because your household could not access or afford it?	Yes No	1 2	Skip to 209
208.	During the past one year how often did your family not get 2 full stomach meals because you could not access or afford it? (read out)	Always (More than 6 months) Often (4 to 6 months) Sometimes (2 to 4 months) Rarely (Less than 2 months)	1 2 3 4	

Q. No	Questions	Responses	Codes	Skip
209.	The cost of living has increased in the past 10 years. Do you agree or disagree	Increased a lot Increased somewhat Neither increased nor decreased Decreased somewhat Decreased a lot Don't know/ cant say	1 2 3 4 5 9	
210.	Do you feel that the income levels of people in general have increased in the past 10 years?	Increased a lot Increased somewhat Neither increased nor decreased Decreased somewhat Decreased a lot Don't know/ cant say	1 2 3 4 5 9	

SECTION 3: POLITICAL DIMENSION OF GOVERNANCE

I would now like to ask you some questions regarding political aspects of governance such as elections, functioning of political parties, quality of political candidates etc.

Q. No	Questions	Responses	Codes	Skip
301.	Since how many years have you been registered as a voter? TO BE CROSS CHECKED WITH AGE IN 105	<5 yrs 5 to 10 yrs 10-15 yrs 15 yrs or more Not registered as voter Don't know/ Can't say	1 2 3 4 5 9	
302.	Did you vote during last assembly elections?	Yes No	1 2	→Skip to 304
303.	IF NO Can you please tell the reason(s) for not having voted?	Name was not there in voter list Was not in town on the election day Did not feel the need to Others (specify) _____	1 2 3 7	
	Did you vote during the assembly elections before the last one?	Yes No	1 2	
304.	During the last assembly elections, were you or any of your household member offered any kind of incentive by any of the political parties? (e.g. money, liquor, gifts, etc)	Yes No	1 2	
305.	Was there any attempt to threaten you or any of your household members during the last assembly elections?	Yes No	1 2	
306.	Do you think that your legislator (MLA) is easily accessible to the general public?	Not easily accessible Accessible with some difficulty Easily accessible Can't say / Don't know	1 2 3 9	
307.	In your opinion, to what extent do elected representative misuse or abuse the power and authority given to them?	To a large extent Somewhat Not at all	1 2 3	→skip to 309
308.	In your opinion what is the level of corruption among the legislators?	Extremely high High Neither low nor high low Extremely low	1 2 3 4 5 9	

Q. No	Questions	Responses	Codes	Skip
309.	The political parties of the state are concerned about the welfare of the poor people. To what extent do you agree or disagree?	Strongly disagree Disagree Neither disagree nor agree Agree Strongly agree Can't say / Don't know	1 2 3 4 5 9	
310.	The political parties of the state are transparent in their functioning? To what extent do you agree or disagree?	Strongly disagree Disagree Neither disagree nor agree Agree Strongly agree Can't say / Don't know	1 2 3 4 5 9	
311.	How regularly do political parties in your state call for hartals / bandhs?	Very often Somewhat often Sometimes Occasionally Rarely Can't say / Don't know	1 2 3 4 5 9	
312.	In your opinion, how would you rate the functioning of your state legislature? PROBE FOR DEGREE	Very bad Bad Neither bad nor good Good Very good Can't say / Don't know	1 2 3 4 5 9	
313.	What is your opinion about the leadership provided by the Chief Minister of your state? To what extent do you think it is effective or ineffective? PROBE FOR DEGREE	Not effective at all Not effective Medium/ Average Effective Very effective Can't say / Don't know	1 2 3 4 5 9	
314.	Do you think that the ministers in the Government are accessible to general public? PROBE FOR DEGREE	Not accessible at all Accessible with some difficulty Easily accessible Can't say / Don't know	1 2 3 9	
315.	What is your opinion about the quality of functioning of Chief Minister & his other ministers?	Very bad Bad Neither bad nor good Good Very good Can't say / Don't know	1 2 3 4 5 9	

Q. No	Questions	Responses	Codes	Skip
316.	What is your opinion about the functioning of Gram Panchayats? ASK ONLY IN RURAL AREAS	Very bad Bad Neither bad nor good	1 2 3	
		Good Very good Can't say / Don't know	4 5 9	
317.	What is your opinion about the functioning of Block Panchayats? ASK ONLY IN RURAL AREAS (AT BLOCK/ TALUKA LEVEL)	Very bad Bad Neither bad nor good Good Very good Can't say / Don't know	1 2 3 4 5 9	
318.	What is your opinion about the functioning of the cities/ municipalities? ASK ONLY IN URBAN AREAS	Very bad Bad Neither bad nor good Good Very good Can't say / Don't know	1 2 3 4 5 9	
319.	With reference to all those points discussed above, can you tell me from where did you get this information?	1. _____ 2. _____ 3. _____		

SECTION 4: LEGAL & JUDICIAL DIMENSION OF GOVERNANCE

Q. No	Questions	Responses	Codes	Skip
401.	Life and property are secure in your area due to prevailing law and order situation. To what extent do you agree or disagree?	Strongly disagree Disagree Neither disagree nor agree Agree Strongly agree Can't say / Don't know	1 2 3 4 5 9	
402.	The police in your area are adequately prepared to enforce law and order. To what extent do you agree or disagree. PROBE FOR DEGREE	Strongly disagree Disagree Neither disagree nor agree Agree Strongly agree Can't say / Don't know	1 2 3 4 5 9	
403.	The government in your state is adequately prepared to prevent / handle grave security threats like extremism / militancy / naxalite violence? To what extent do you agree or disagree. PROBE FOR DEGREE	Strongly disagree Disagree Neither disagree nor agree Agree Strongly agree Can't say / Don't know	1 2 3 4 5 9	
404.	People need to pay bribe to law officials for getting services as per their rights. To what extent do you agree or disagree?	Strongly disagree Disagree Neither disagree nor agree Agree Strongly agree Can't say / Don't know	1 2 3 4 5 9	
405.	People need to pay bribe to law officials for escaping liability under law. To what extent do you agree or disagree?	Strongly disagree Disagree Neither disagree nor agree Agree Strongly agree Can't say / Don't know	1 2 3 4 5 9	
406.	Do you think that in your area the thefts, burglary and other crimes are under control due to effective measures taken by the police? PROBE FOR DEGREE	Very irresponsible Irresponsible Neither irresponsible nor responsive Responsive Very responsive Can't say / Don't know	1 2 3 4 5 9	

Q. No	Questions	Responses	Codes	Skip
407.	Lodging an FIR (First Information Report) is easy in your area. To what extent do you agree or disagree? PROBE FOR DEGREE	Strongly disagree Disagree Neither disagree nor agree Agree Strongly agree Can't say / Don't know	1 2 3 4 5 9	
408.	In your area, people are at ease with the local police. To what extent do you agree or disagree? PROBE FOR DEGREE	Strongly disagree Disagree Neither disagree nor agree Agree Strongly agree Can't say / Don't know	1 2 3 4 5 9	
409.	Any person in your area will be fairly treated if arrested. To what extent do you agree or disagree? PROBE FOR DEGREE	Strongly disagree Disagree Neither disagree nor agree Agree Strongly agree Can't say / Don't know	1 2 3 4 5 9	
410.	Those who approach the (high) court in your State for justice do receive the verdict in time. To what extent do you agree or disagree with this statement?	Very low Low Neither low nor high High Very low Can't say / Don't know	1 2 3 4 5 9	
411.	How would you rate the Judicial System in the State?	Very bad Bad Neither bad nor good Good Very good Can't say / Don't know	1 2 3 4 5 9	
412.	The judicial system in your state is corrupt. To what extent do you agree or disagree?	Strongly disagree Disagree Neither disagree nor agree Agree Strongly agree Can't say / Don't know	1 2 3 4 5 9	
413.	With reference to all those points discussed above, can you tell me from where did you get this information?	1. _____ 2. _____ 3. _____		

SECTION 5: ADMINISTRATIVE DIMENSION OF GOVERNANCE

Q. No	Questions	Responses	Codes	Skip
501.	Do you think that government functionaries in your area are usually accessible to the general public? (e.g.; bill payment, tax payment, receiving any service etc) PROBE FOR DEGREE	Not accessible at all Accessible with some difficult Easily accessible Can't say / Don't know	1 2 3 9	
502.	Do you think that the government functionaries are responsive towards the needs of the general public? PROBE FOR DEGREE	Very irresponsible Irresponsible Neither irresponsible nor responsive Responsive Very responsive Can't say / Don't know	1 2 3 4 5 9	
503.	What is your opinion about the quality of grievance redressal (complaint handling) by government agencies in your area? PROBE FOR DEGREE	Very bad Bad Neither bad nor good Good Very good Can't say / Don't know	1 2 3 4 5 9	
504.	Have you heard about the Right to Information Act?	Yes No	1 2	
505.	Do you know you have the right to access information held by public authorities?	Yes No	1 2	
506.	Do you know how to use the Right to Information Act to access information from public authorities?	Yes No	1 2	
507.	Do you or any member of your household use the internet facility on a regular basis?	Yes No	1 2	→ skip to 509
508.	Do you have the facility at home or do you/ household members use the facility elsewhere?	Home Cyber café Other places (friends, office etc)	1 2 3	
509.	Corruption has come down due to greater use of IT in your state. Do you agree or disagree? PROBE FOR DEGREE	Strongly disagree Disagree Neither disagree nor agree Agree Strongly agree Can't say / Don't know	1 2 3 4 5 9	
510.	In your opinion, what is the extent of corruption in administration in your state?	Very high High Neither low nor high Low Very low Can't say / Don't know	1	

Q. No	Questions	Responses	Codes	Skip																																													
511.	Over the last five years, the corruption level has decreased. Do you agree or disagree? PROBE FOR DEGREE	Strongly disagree Disagree Neither disagree nor agree Agree Strongly agree Can't say / Don't know	1 2 3 4 5 9																																														
512.	How satisfied are you with the regularity of electric supply in your area?	Very satisfied Satisfied Neither satisfied nor dissatisfied dissatisfied Very dissatisfied Can't say / Don't know	1 2 3 4 5 9																																														
		<table border="1"> <thead> <tr> <th>Services</th> <th>Yes</th> <th>No</th> <th>Not availed</th> <th>DK/CS</th> </tr> </thead> <tbody> <tr> <td>Primary education</td> <td>1</td> <td>2</td> <td>7</td> <td>9</td> </tr> <tr> <td>Primary healthcare</td> <td>1</td> <td>2</td> <td>7</td> <td>9</td> </tr> <tr> <td>Drinking water</td> <td>1</td> <td>2</td> <td>7</td> <td>9</td> </tr> <tr> <td>Sanitation</td> <td>1</td> <td>2</td> <td>7</td> <td>9</td> </tr> <tr> <td>Electricity</td> <td>1</td> <td>2</td> <td>7</td> <td>9</td> </tr> <tr> <td>PDS</td> <td>1</td> <td>2</td> <td>7</td> <td>9</td> </tr> <tr> <td>Housing</td> <td>1</td> <td>2</td> <td>7</td> <td>9</td> </tr> <tr> <td>Pensions</td> <td>1</td> <td>2</td> <td>7</td> <td>9</td> </tr> </tbody> </table>	Services	Yes	No	Not availed	DK/CS	Primary education	1	2	7	9	Primary healthcare	1	2	7	9	Drinking water	1	2	7	9	Sanitation	1	2	7	9	Electricity	1	2	7	9	PDS	1	2	7	9	Housing	1	2	7	9	Pensions	1	2	7	9		
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Sanitation	1	2	7	9																																													
Electricity	1	2	7	9																																													
PDS	1	2	7	9																																													
Housing	1	2	7	9																																													
Pensions	1	2	7	9																																													
513.	Does any child in your household attend government primary school?	Yes no	1 2	→Skip to 519																																													
514.	ASK ONLY IF CODE 1 IN 514 Does the child get mid-day meal in the government school?	Yes no	1 2																																														
515.	How satisfied are you with the quality of education provided in the primary schools where your child studies?	Very satisfied Satisfied Neither satisfied nor dissatisfied dissatisfied Very dissatisfied Can't say / Don't know	1 2 3 4 5 9																																														
516.	Is the primary school teacher is regularly available in the school & class?	Not regularly available Regularly available Can't say / Don't know	1 2 9																																														
517.	How satisfied are you with the quality of mid-day meals provided in primary schools where your child studies?	Very satisfied Satisfied Neither satisfied nor dissatisfied dissatisfied Very dissatisfied Can't say / Don't know	1 2 3 4 5 9																																														
518.	How satisfied are you with the functioning of fair price shops in your locality or village?	Very satisfied Satisfied Neither satisfied nor dissatisfied dissatisfied Very dissatisfied Do not use	1 2 3 4 5 9																																														

Q. No	Questions	Responses	Codes	Skip
519.	How satisfied are you with the roads in your locality?	Very dissatisfied dissatisfied Neither satisfied nor dissatisfied Satisfied Very satisfied	1 2 3 4 5	
520.	How satisfied are you with the streetlights in your locality?	Very dissatisfied dissatisfied Neither satisfied nor dissatisfied Satisfied Very satisfied	1 2 3 4 5	

TO BE ASKED TO RESPONDENTS IN RURAL AREAS ONLY

521.	How far is this village from the nearest metalled road?	< 1 Km 1 to 5 Km 5 km or more	1 2 3	
522.	Is there a post office in this area/village?	Yes No	1 2	
523.	Has any community health worker (ANM) visited your household in last three months?	Yes No Don't know/ cant say	1 2 9	
524.	How far is the nearest PHC/SC/CHC from your residence?	PHC _____ SC _____ CHC _____		
525.	Do you think that your PHC doctor is regularly available at the PHC?	Never available Sometimes available Always available Can't say / Don't know	1 2 3 9	
526.	Do you think that your PHC staff treats patients with due care and courtesy?	Yes No Can't say / Don't know	1 2 9	
527.	Are medicines usually available at the PHC?	Yes No Can't say / Don't know	1 2 9	
528.	How satisfied are you with the health care services provided by the sub-centre / PHC that you usually visit?	Very dissatisfied dissatisfied Neither satisfied nor dissatisfied Satisfied Very satisfied Can't say / Don't know	1 2 3 4 5 9	
529.	With reference to all those points discussed above, can you tell me from where did you get this information?	1. _____ 2. _____ 3. _____		

SECTION 6: ECONOMIC DIMENSION OF GOVERNANCE

Q. No	Questions	Responses	Codes	Skip
601.	ASK IF RESPONDENT IS WORKING IN UNORGANIZED/ INFORMAL SECTOR. ASK ONLY IF WORKING IN INFORMAL SECTOR Do you receive the basic minimum wages as mandated?	Yes	1	
		No	2	
		Not applicable	8	
CHECK Q 107. ASK Q 602 TO 608 ONLY IF OCCUPATION IS FARMER				
602.	What is your opinion about the quality of irrigation facilities provided by government in your area?	Very bad	1	
		Bad	2	
		Neither bad nor good	3	
		Good	4	
		Very good	5	
		Can't say / Don't know	9	
603.	What is your opinion about the quality of marketing support provided by the government in your state (access to markets, ease of payments, price information etc.)?	Very bad	1	
		Bad	2	
		Neither bad nor good	3	
		Good	4	
		Very good	5	
		Can't say / Don't know	9	
604.	Do you get credit from any credit facility for agricultural purposes (e.g. for purchase of seeds, fertilizers, etc.) when you require?	Yes	1	
		No	2	
605.	Do you get any advice or inputs from any government functionaries about agricultural practices?	Yes	1	
		No	2	
606.	To what extent are you satisfied with the quality of agricultural material e.g. Seeds, fertilizers etc. provided by the government?	Very dissatisfied	1	
		dissatisfied	2	
		Neither satisfied nor dissatisfied	3	
		Satisfied	4	
		Very satisfied	5	
		Can't say / Don't know	9	
607.	In your opinion, how effective is the state government in your state been in promoting environmentally friendly agricultural practices?	Not effective at all	1	
		Not effective	2	
		Medium/Average	3	
		Effective	4	
		Very effective	5	
		Can't say / Don't know	9	

Q. No	Questions	Responses	Codes	Skip
608.	What is your opinion about the overall quality of credit facility (e.g. procurement of seeds, fertilizers, pesticides, farming equipment, etc.) provided by the government in your area?	Very bad	1	
		Bad	2	
		Neither bad nor good	3	
		Good	4	
		Very good	5	
		Can't say / Don't know	9	
609.	What is your opinion about the quality of extension services provided by the government in your state?	Very bad	1	
		Bad	2	
		Neither bad nor good	3	
		Good	4	
		Very good	5	
		Can't say / Don't know	9	
610.	Has the job opportunities increased in your area in the last ten years?	Yes	1	
		No	2	

SECTION 7: SOCIAL DIMENSION OF GOVERNANCE

Q. No	Questions	Responses	Codes	Skip
701	The government adequately addresses the welfare needs of women & children in your state. To what extent do you agree or disagree?	Strongly disagree	1	
		Disagree	2	
		Neither disagree nor agree	3	
		Agree	4	
		Strongly agree	5	
		Can't say / Don't know	9	
702	Is your household covered under any anti-poverty program of the government?	Yes	1	
		No	2	

Instruction: Q703 to Q 708 is to be asked to BPL households only (Code 2 or 3 in 204)

703	Do you get the stipulated amount of ration every month, which you are entitled to, through public distribution system?	Yes	1	
		No	2	
		Can't say / Don't know	9	
704	Does your household have toilet facility?	Yes	1	Skip to 707
		No	2	
705	Which kind of toilet facility does the household access?	Toilet within house	1	
		Toilet within compound but outside house	2	
		Community toilet	3	
706	Does your household have access to safe drinking water?	Yes	1	
		No	2	
		Can't say / Don't know	9	
707	Are you eligible to get employment under NREGS?	Yes	1	
		No	2	
		Can't say / Don't know	9	
708	Have you <u>been provided with housing benefits</u> from the government?	Yes	1	
		No	2	
		Can't say / Don't know	9	
709	Is any member in your household suffering from any kind of disability*?	Yes	1	
		No	2	

***Disability :** A person with restriction or lack of abilities to perform an activity in the manner or within the range considered normal for a human being will be treated as having disability. It excludes illness/injury of recent origin (morbidity) resulting into temporary loss of ability to see, hear, speak or move. An individual can have single or multiple disabilities. It can be mental, visual, hearing, speech, orthopedic/locomotor disability.

710	Do any of this/ these member(s) get disability benefit from the government?	Yes	1	Skip to 712
		No	2	

Q. No	Questions	Responses	Codes	Skip
711	Number of household members getting disability benefits	<input type="text"/>		
712	Do you feel that there is freedom to practice the religion of your choice in your state?	Strongly disagree Disagree Neither disagree nor agree Agree Strongly agree Can't say / Don't know	1 2 3 4 5 9	
713	You do not face discrimination in social life due to your religion, social or cultural identity in your state. Do you agree or disagree?	Strongly disagree Disagree Neither disagree nor agree Agree Strongly agree Can't say / Don't know	1 2 3 4 5 9	
714	How would you rate the quality of NGOs in your state?	Very bad Bad Neither bad nor good Good Very good Can't say / Don't know	1 2 3 4 5 9	
715	How would you rate the performance of NGOs in your state?	Very bad Bad Neither bad nor good Good Very good Can't say / Don't know	1 2 3 4 5 9	
716	Media (including print, audio and audio-visual) provides authentic information to the people regarding political and social environment. To what extent do you agree or disagree?	Strongly disagree Disagree Neither disagree nor agree Agree Strongly agree Can't say / Don't know	1 2 3 4 5 9	
717	How would you rate the role of media at educating and informing people on social and governance issues in your state?	Very bad Bad Neither bad nor good Good Very good Can't say / Don't know	1 2 3 4 5 9	

Q. No	Questions	Responses	Codes	Skip
718	The news and information published in the news media has high social relevance in your state? Do you agree or disagree?	Strongly disagree Disagree Neither disagree nor agree Agree Strongly agree Can't say / Don't know	1 2 3 4 5 9	
719	In your opinion, how effective is the state government in controlling air pollution?	Not effective at all Not effective Medium/Average Effective Very effective Can't say / Don't know	1 2 3 4 5 9	
720	In your opinion, how effective is the state government in controlling pollution of water bodies?	Not effective at all Not effective Medium/Average Effective Very effective Can't say / Don't know	1 2 3 4 5 9	
721	The government in your state has encouraged water conservation through watershed projects, rainwater harvesting, etc. To what extent do you agree or disagree?	Strongly disagree Disagree Neither disagree nor agree Agree Strongly agree Can't say / Don't know	1 2 3 4 5 9	
722	Would you like to give any suggestions to improve the governance in the State? If yes, what would it be?	_____ _____ _____		

THANK THE RESPONDENT AND CLOSE THE INTERVIEW

Employee Survey Schedule

Employee Survey Schedule

No.

--	--	--	--	--

Instructions:

Please cover 10 respondents from each category of following department – Law & Order, Health & Family Welfare, Water & Sanitation, and Social Welfare.

Supervisor and office editors have to scrutinize the filled in questionnaires including the ID section.

IDENTIFICATION SECTION:

Sr. No.	Coding Category	Codes		
1	Name of State _____	<table border="1" style="display: inline-table;"><tr><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td></tr></table>		
2	Name of District _____	<table border="1" style="display: inline-table;"><tr><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td></tr></table>		
3	Name of Block _____	<table border="1" style="display: inline-table;"><tr><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td></tr></table>		
4	Name of Gram Panchayat / Municipality _____	<table border="1" style="display: inline-table;"><tr><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td></tr></table>		
5	Department			
	Law & Order	1		
	Health & Family Welfare	2		
	Water & Sanitation	3		
	Social Welfare	4		
	Education	5		
6	Designation _____	<table border="1" style="display: inline-table;"><tr><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td></tr></table>		

INTERVIEW DETAILS:

Date of interview			d	d	m	m	y	y					
Name of the interviewer													
Back checked by (Name)		Date	d	d	m	m	y	y					
SUPERVISOR (to be filled by interviewer)		EDITOR (to be filled by editor)											
Name					Name								
Date	d	d	m	m	y	y	Date	d	d	m	m	y	y

SECTION 1: DEMOGRAPHIC PROFILE OF RESPONDENT

Q.No	Questions	Responses	Codes	Skip
101	Please note the social category of the respondent	General SC ST OBC	1 2 3 4	
102	Level at which working/ employed	State District Block	1 2 3	
103	At which grade are you currently employment?	Class 1 Class 2 Class 3 Class 4 Others	1 2 3 4 9	
104	Sex of respondent?	Male Female	1 2	
105	Age in completed years?	<input type="text"/> <input type="text"/>		

Q.No	Questions	Responses	Codes	Skip
106	What is your highest level of educational attainment?	Illiterate Literate but without formal schooling Less than primary Primary school (up to 5 th) Middle school (up to 8 th) High school /Matriculate (up to 10 th) Higher Secondary/ Intermediate (up to 12 th) Technical Education/ Diploma General Graduate Professional Degree Post Graduate and above Other	01 02 03 04 05 06 07 08 09 10 11 77	
107	Duration of service in the current position?	Years1 Months.....2 		
108	What are the activities you are expected to perform in the current position?	_____ _____ _____		
109	What is the total number of years of service put by you in government job?			

SECTION 2: POLITICAL DIMENSION OF GOVERNANCE

Q. No	Questions	Responses	Codes	Skip
201.	Have you been ever deputed for any assembly elections work within your state?	Yes No	1 2	Skip to 204
202.	In your assigned area, did the polling happen smoothly?	Yes No	1 2	
203.	Do you think that the elected representatives misuse the power and authority given to them?	Yes No Can't say / Don't know	1 2 9	
204.	In your opinion what is the level of corruption among the legislators?	Extremely low Low Neither low nor high High Extremely high Can't say / Don't know	1 2 3 4 5 9	
205.	In your opinion, are the political parties in your state concerned about the welfare of people, especially that of the poor?	Not at all concerned Somewhat unconcerned Neither concerned nor unconcerned Somewhat concerned Concerned to a large extent Don't know/ can't say	1 2 3 4 5 9	
206.	Based on your overall experience or opinion, how would you rate the conduct of the main ruling party? (w.r.t. the behaviour of the party during assembly sessions and public meeting and treating the public in general)	Very bad Bad Neither bad nor good Good Very good Can't say / Don't know	1 2 3 4 5 9	
207.	Based on your overall experience or opinion, how would you rate the conduct of the main opposition party? (w.r.t. the behaviour of the party during assembly sessions and public meeting and treating the public in general)	Very bad Bad Neither bad nor good Good Very good Can't say / Don't know	1 2 3 4 5 9	

Q. No	Questions	Responses	Codes	Skip
208.	In your opinion what is the level of corruption among the legislators?	Extremely low Low Neither low nor high High Extremely high Can't say / Don't know	1 2 3 4 5 9	

Instruction: Q216 to Q219 is to be asked to police personnel only, for others skip these and continue with Q220

209.	To what extent do you think you are adequately equipped with knowledge & skills to function effectively in your work in general?	Strongly disagree Disagree Neither disagree nor agree Agree Strongly agree Can't say / Don't know	1 2 3 4 5 9	
210.	To what extent do you think that there are adequate physical and financial resources available for the police to function effectively?	Strongly disagree Disagree Neither disagree nor agree Agree Strongly agree Can't say / Don't know	1 2 3 4 5 9	
211.	In your opinion, what is the level of political interference in police administration?	Very low Low Neither low nor high High Very low Can't say / Don't know	1 2 3 4 5 9	
212.	To what extent can you rate the selection process by the Public Service Commission in your state as fair?	Not at all To some extent To a large extent Can't say / Don't know	1 2 3 9	
213.	To what extent do you think that transfers / postings are made through counseling / consultative process in your state?	Not at all To some extent To a large extent Can't say / Don't know	1 2 3 9	
214.	Does the government in your state have a tenure policy?	Yes No Can't say / Don't know	1 2 9	

Q. No	Questions	Responses	Codes	Skip
215.	How would you rate the performance evaluation system (does it truly reflect performance) in your state?	Very bad Bad Neither bad nor good Good Very good Can't say / Don't know	1 2 3 4 5 9	
216.	Is performance evaluation of employees done on a regular basis in your state?	Yes No Can't say / Don't know	1 2 9	
217.	Do you think that merit is an important consideration for promotions in your department?	Yes No Can't say / Don't know	1 2 9	
218.	The government recognizes and rewards excellence in public service? To what extent do you agree or disagree	Strongly disagree Disagree Neither disagree nor agree Agree Strongly agree Can't say / Don't know	1 2 3 4 5 9	
219.	Are there adequate incentives for performing well in your job?	Yes No Don't know/ cant say	1 2 3	
220.	You are well equipped to meet the requirements / challenges of your job. To what extent do you agree or disagree?	Strongly disagree Disagree Neither disagree nor agree Agree Strongly agree Can't say / Don't know	1 2 3 4 5 9	
221.	Public servants in the state are highly motivated to do their duty. To what extent do you agree or disagree?	Strongly disagree Disagree Neither disagree nor agree Agree Strongly agree Can't say / Don't know	1 2 3 4 5 9	
222.	In your opinion, what is the extent of corruption in administration in your state?	Extremely high	1	
		High	2	
		Neither low nor high	3	
		Low	4	
		Extremely low Can't say / Don't know	5 9	

Q. No	Questions	Responses	Codes	Skip
223.	Would you say that over last five years, corruption has reduced or increased in your state?	Yes No Can't say / Don't know	1 2 9	

Thank the respondent and close the interview

Questionnaire for Business Firms

I am employed with [name of survey firm]. Our organization is involved in conducting research on various issues like governance, health, education, Water supply and Sanitation, etc. We are conducting a survey on the quality of governance in your States and we would like to understand your perception on this issue. We would very much appreciate your participation in this survey since your views are important, as a citizen and as part of the business firms. The information you provide will be analysed appropriately and your identity will be kept strictly confidential and will not be disclosed to any other person.

IDENTIFICATION

01	State		
02	Date of interview	DD MM YYYY	
03	Start time	DD MM	
04	End time	DD MM	
05	Name of interviewer	_____	
	Signature of interviewer		
06	Name of the Organization		
07	Type of organization	Small	1
		Medium	2
		Large	3
08	Address of the Organization		
09	Name of the respondent		
10	Designation		
11	Department and role		

SNO.	PARTICULARS	RESPONSES	SKIP TO
I would like to know your opinion regarding the current political situation in the State. Please respond with respect to the current situation of governance prevailing in the State.			
1.	In terms of business environment, how would you rate the investment climate in the State?	Very bad Somewhat bad Neither bad nor good Good Excellent Don't know/ can't say	1 2 3 4 5 9
2.	Is there a single window facility available for potential investors?	Yes No	1 2
	In your opinion, how is the quality of functioning of the single-window facility?	Very bad Somewhat bad Neither bad nor good Somewhat good Very good Don't know/ can't say	1 2 3 4 5 9
3.	Have you yourself registered a business in last two years?	Yes	1
		No	2
4.	How much time did it take to register the business? (NOTE IN DAYS)	□□	
5.	How much did you have to pay for registering the business? (in Rupees)	□□□□□□	
6.	Have you closed any business so far?	Yes	1
		No	2
7.	How much time does it usually take to close the business? (NOTE IN DAYS)	□□	
8.	Do you agree that skilled labour is adequately available in the market these days?	Strongly disagree Somewhat disagree Neither disagree nor agree Somewhat agree Strongly agree Don't know/ can't say	1 2 3 4 5 9

SNO.	PARTICULARS	RESPONSES	SKIP TO
9.	Would you say that the employment laws in the state are investment friendly?	Strongly disagree Somewhat disagree Neither disagree nor agree Somewhat agree Strongly agree Don't know/ can't say	1 2 3 4 5 9
10.	What is your opinion on transparency in contract bidding for tenders called by the Government?	Very difficult Somewhat difficult Neither difficult nor easy Somewhat easy Very easy Don't know/ can't say	1 2 3 4 5 9
11.	Do you agree that the property rights are well respected in the State?	Very difficult Somewhat difficult Neither difficult nor easy Somewhat easy Very easy Don't know/ can't say	1 2 3 4 5 9
12.	In your opinion, how easy is it to acquire credit for business purposes?	Very difficult Somewhat difficult Neither difficult nor easy Somewhat easy Very easy Don't know/ can't say	1 2 3 4 5 9
13.	In your opinion, how easy is it to acquire land for business purposes?	Very difficult Somewhat difficult Neither difficult nor easy Somewhat easy Very easy Don't know/ can't say	1 2 3 4 5 9
14.	I would like to ask you about your opinion on the physical infrastructure. How do you rate the quality of electricity in the State on the whole?	Very bad Somewhat bad Neither bad nor good Somewhat good Very good Don't know/ can't say	1 2 3 4 5 9
15.	How do you rate the quality of transport facilities in the State on the whole?	Very bad Somewhat bad Neither bad nor good Somewhat good Very good Don't know/ can't say	1 2 3 4 5 9

SNO.	PARTICULARS	RESPONSES	SKIP TO
16.	How do you rate the quality of communication facilities in the State on the whole?	Very bad Somewhat bad Neither bad nor good Somewhat good Very good Don't know/ can't say	1 2 3 4 5 9
17.	How do you rate the quality of water supply facility in the State on the whole?	Very bad Somewhat bad Neither bad nor good Somewhat good Very good Don't know/ can't say	1 2 3 4 5 9
18.	Has the state government been able to create a good regulatory environment?	Strongly disagree Somewhat disagree Neither disagree nor agree Somewhat agree Strongly agree Don't know/ can't say	1 2 3 4 5 9
19.	In your daily routine, out of the total time you spend at work, what proportion of time do you spent in dealing with government officials? (RECORD IN HOURS)	□ hours	
20.	In a year, typically how many times do government officials visit your firm for inspection?	□□	
21.	In your dealings with government officials, do you have to make irregular payments or bribes to the government officials?	Yes No	1 2
22.	Do you agree that the enforcement of ban upon child labour is effective?	Yes No	1 2
23.	What is your opinion on the extent of corruption in administration?	Very high Somewhat high Neither high nor low Somewhat low Very low Don't know/ can't say	1 2 3 4 5 9
24.	In your opinion, over the last five years, has corruption in administration reduced or increased?	Reduced Increased	0 1

Thank the respondent and close the interview

Questionnaire for media personnel

I am employed with [Name of Survey Firm]. Our organization is involved in conducting research on various issues like governance, health, education, Water supply and Sanitation, etc. We are conducting a survey on the quality of governance in your State. We would very much appreciate your participation in this survey since your views are important, as a citizen and more importantly as part of the media family. The information you provide will be analyzed and your identity will be kept strictly confidential and will not be disclosed at all.

IDENTIFICATION

01	State		
02	Date of interview	□□ □□ 2007 DD MM	
03	Start time	□□ □□	
04	End time	□□ □□	
05	Name of interviewer	_____	
	Signature of interviewer		
06	Type of media associated with	Radio	1
		Television	2
		Print Newspaper	3
		Specify _____	
		Magazine	4
		Specify _____	
	Name of the Organization		
	Address of the Organization		
	Name of the respondent		
	Designation		
	Department and role		
	Sector of reporting	News	1
		Crime	2
		Social	3
		Corporate	4
		Other (specify) _____	7

SNO.	PARTICULARS	RESPONSES	CODES	SKIP TO
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I would now like to ask you some questions regarding political aspects of governance such as elections, functioning of political parties, quality of political candidates, etc.

1	The elected representatives of political parties misuse power and authority given to them. To what extent do you agree or disagree?	Strongly disagree	1	
		Somewhat disagree	2	
		Neither agree nor disagree	3	
		Somewhat agree	4	
		Strongly agree	5	
		Don't know/ cant say	9	
2	The elected representatives of political parties misuse power and authority given to them. To what extent do you agree or disagree?	Strongly disagree	1	
		Somewhat disagree	2	
		Neither agree nor disagree	3	
		Somewhat agree	4	
		Strongly agree	5	
		Don't know/ cant say	9	
3	The political parties in the State concerned about the welfare of people, especially that of the poor. To what extent do you agree or disagree?	Strongly disagree	1	
		Somewhat disagree	2	
		Neither agree nor disagree	3	
		Somewhat agree	4	
		Strongly agree	5	
		Don't know/ cant say	9	
4	In your opinion, how is the conduct of the main ruling political party? (w.r.t. the behaviour of the party during assembly sessions and public meeting and treating the public in general)	Very bad	1	
		Somewhat bad	2	
		Neither bad nor good	3	
		Somewhat good	4	
		Very good	5	
		Don't know/ cant say	9	
5	In your opinion, how is the conduct of the main opposition party? (w.r.t. the behaviour of the party during assembly sessions and public meeting and treating the public in general)	Very bad	1	
		Somewhat bad	2	
		Neither bad nor good	3	
		Somewhat good	4	
		Very good	5	
		Don't know/ cant say	9	
6	What is your opinion about the level of transparency in the functioning of the main ruling political party?	Very low	1	
		Somewhat low	2	
		Neither low nor high	3	
		Somewhat high	4	
		Very high	5	
		Don't know/ cant say	9	

SNO.	PARTICULARS	RESPONSES	CODES	SKIP TO
7	How would you rate the level of corruption among legislators in this State?	Extremely high Somewhat high Neither low nor high Somewhat low Extremely low Don't know/ cant say	5 4 3 2 1 9	
8	Do you feel that the political parties in your State have a high likelihood/ propensity to call for hartals/ bandhs?	Yes No	1 2	
9	What is your opinion on the functioning of the State legislature?	Not at all good Somewhat good Neither bad nor good Somewhat good Very good Don't know/ cant say	1 2 3 4 5 9	
10	How would you rate the effectiveness of leadership provided by the Chief Minister?	Not at all effective Somewhat ineffectual Neither effective nor ineffectual Somewhat effective Very effective Don't know/ cant say	1 2 3 4 5 9	
11	What is your opinion on the accessibility of the Ministers to the general public?	Not accessible Somewhat accessible Easily accessible Don't know/ cant say	1 2 3 9	
12	In your opinion, how is the quality of the political executives (e.g. Chief Minister and his ministers)?	Not at all good Somewhat bad Neither bad nor good Somewhat good Very good Don't know/ Can't say	1 2 3 4 5 9	
13	The State Government is adequately prepared to prevent or handle grave security threats like extremism, militancy, naxalite violence, etc. To what extent do you agree or disagree?	Strongly disagree	1	
		Somewhat disagree	2	
		Neither agree nor disagree	3	
		Somewhat agree	4	
		Strongly agree	5	
		Don't know/ cant say	9	

SNO.	PARTICULARS	RESPONSES	CODES	SKIP TO
Now I would like to have your opinion on the functioning of specialized dedicated commissions and special courts.				
14	How would you rate the functioning of the State Human Rights Commission?	Not at all good Somewhat bad Neither bad nor good Somewhat good Very good Don't know/ Can't say	1 2 3 4 5 9	
15	How would you rate the functioning of the State Women's Commission?	Not at all good Somewhat bad Neither bad nor good Somewhat good Very good Don't know/ Can't say	1 2 3 4 5 9	
16	How would you rate the functioning of the State Commission for SCs/ STs/ BCs?	Not at all good Somewhat bad Neither bad nor good Somewhat good Very good Don't know/ Can't say	1 2 3 4 5 9	
17	How would you rate the functioning of the State Minorities' Commission?	Not at all good Somewhat bad Neither bad nor good Somewhat good Very good Don't know/ Can't say	1 2 3 4 5 9	
18	In your opinion, how effective are the consumer courts (dispute redressal mechanisms)?	Very ineffective Somewhat ineffective Neither ineffective nor effective Somewhat effective Very effective Don't know/ Can't say	1 2 3 4 5 9	
19	How would you rate the effectiveness of family courts?	Very ineffective Somewhat ineffective Neither ineffective nor effective Somewhat effective Very effective Don't know/ Can't say	1 2 3 4 5 9	

SNO.	PARTICULARS	RESPONSES	CODES	SKIP TO
I would also like to have your opinion on some of the administrative issues				
20	How is the quality of functioning of the State Information Commission established under the Right to Information Act, 2005?	Not at all good Somewhat bad Neither bad nor good Somewhat good Very good Don't know/ Can't say	1 2 3 4 5 9	
21	If you were asked to rate the quality of NGOs in the State, how would you rate them?	Not at all good Somewhat bad Neither bad nor good Somewhat good Very good Don't know/ Can't say	1 2 3 4 5 9	
22	How would you rate the capacity of these NGOs in terms of functioning capability?	Not at all good Somewhat bad Neither bad nor good Somewhat good Very good Don't know/ Can't say	1 2 3 4 5 9	
I would now like to know your opinion on the aspect of freedom of expression for the media				
23	The overall environment for the functioning of media in your State is conducive. To what extent do you agree or disagree?	Strongly disagree Somewhat disagree Neither agree nor disagree Somewhat agree Strongly agree Don't know/ cant say	1 2 3 4 5 9	
24	The government has allowed the media to function independently. To what extent do you agree or disagree?	Strongly disagree Somewhat disagree Neither agree nor disagree Somewhat agree Strongly agree Don't know/ cant say	1 2 3 4 5 9	
25	There is unwanted political or bureaucratic interference in the functioning of the media. To what extent do you agree or disagree?	Strongly disagree Somewhat disagree Neither agree nor disagree Somewhat agree Strongly agree Don't know/ cant say	1 2 3 4 5 9	

SNO.	PARTICULARS	RESPONSES	CODES	SKIP TO
26	Media in this State enjoys freedom from business interests. To what extent do you agree or disagree?	Strongly disagree Somewhat disagree Neither agree nor disagree Somewhat agree Strongly agree Don't know/ cant say	1 2 3 4 5 9	
27	Media enjoys the freedom to collect facts and information about the government. To what extent do you agree or disagree?	Strongly disagree Somewhat disagree Neither agree nor disagree Somewhat agree Strongly agree Don't know/ cant say	1 2 3 4 5 9	

Thank the respondent and close the interview

Questionnaire for NGOs

I am employed with [Name of Survey Firm]. Our organization is involved in conducting research on various issues like governance, health, education, Water supply and Sanitation, etc. We are conducting a survey on the quality of governance in your State and we would like to understand your perception on this issue. We would very much appreciate your participation in this survey since your views are important, as a citizen and as more importantly as part of the NGO family. The information you provide will be analyzed appropriately and your identity will be kept strictly confidential and will not be disclosed to any other person.

IDENTIFICATION

01	State		
02	Date of interview	□□ □□ □□□□ DD MM YYYY	
03	Start time	□□ □□	
04	End time	□□ □□	
05	Name of interviewer	_____	
	Signature of interviewer		
	Name of the Organization		
	Address of the Organization		
	Work area	Health	1
		Social justice	2
		Environment	3
		Child labour	4
		Rehabilitation	5
		Others (specify) _____	7
	Type of work that the NGO is involved in	Advocacy	
		Dissemination	
		Implementation	
		Other (specify) _____	
	Name of the respondent	_____	
	Designation		
	Total number of people employed in the NGO		

SNO.	PARTICULARS	RESPONSES	CODES	SKIP TO
I would now like to ask you some questions regarding political aspects of governance such as elections, functioning of political parties, quality of political candidates, etc.				
1.	The political parties of the state are concerned about the welfare of the poor people. To what extent do you agree or disagree?	Strongly disagree Disagree Neither disagree nor agree Agree Strongly agree Can't say / Don't know	1 2 3 4 5 9	
2.	In your opinion, how is the conduct of the main ruling political party? (w.r.t. the behaviour of the party during assembly sessions and public meeting and treating the public in general)	Very bad Somewhat bad Neither bad nor good Somewhat good Very good Don't know/ cant say	1 2 3 4 5 9	
3.	In your opinion, how is the conduct of the main opposition party? (w.r.t. the behaviour of the party during assembly sessions and public meeting and treating the public in general)	Very bad Somewhat bad Neither bad nor good Somewhat good Very good Don't know/ cant say	1 2 3 4 5 9	
4.	How would you rate the level of corruption among legislators in this Sate?	Extremely low Somewhat low Neither low nor high Somewhat high Extremely high Don't know/ cant say	1 2 3 4 5 9	
5.	How would you rate the extent of corruption in administration?	Very high Somewhat high Neither high now low Somewhat low Very low Don't know/ cant say	1 2 3 4 5 9	
6.	In your opinion, over the last five years, has corruption reduced or increased?	Strongly disagree	1	
		Disagree	2	
		Neither disagree nor agree	3	
		Agree	4	
		Strongly agree	5	
		Can't say / Don't know	9	

SNO.	PARTICULARS	RESPONSES	CODES	SKIP TO
7.	There is a favorable climate/environment in the state for NGOs to function. To what extent do you agree or disagree?	Yes	1	
		No	2	
8.	To what extent is the functioning of NGOs free from political interference?	To a large extent	1	
		Somewhat	2	
		Not at all	3	
9.	To what extent do government officials interfere in the functioning of NGOs?	To a large extent	1	
		Somewhat	2	
		Not at all	3	
10.	Have you given bribe or fringe benefits (cash or kind) to politicians or administrators for any purpose during the last one year?	Yes	1	
		No	2	
11.	A lot of work is done by NGOs which helps the government in policy formulation. In the last one year, has your organization been involved by the Government in policy formulation?	Yes	1	
		No	2	
12.	In the last one year, has your organization been involved by the Government in monitoring and evaluation of programmes and schemes?	Yes	1	
		No	2	
13.	To what extent do NGOs indulge in corrupt practices in the state?	Indulge to a large extent	1	
		Indulge somewhat	2	
		Do not indulge at all	3	
		Don't know/ cant say	9	
14.	Has your NGO published an annual report last during the last financial year? INTERVIEWER TO COLLECT COPY	Yes	1	
		No	2	
15.	Has your NGO published audited financial statement last year? INTERVIEWER TO COLLECT COPY	Yes	1	
		No	2	
16.	Does your NGO receive financial support from the Government during the last one year?	Yes	1	Skip to 18
		No	2	
17.	Have you complied with the provisions of the Right to Information Act?	Yes	1	
		No	2	
18.	Have you appointed a Public Information Officer?	Yes	1	
		No	2	
19.	What do you think about the media taking up people's issues? Do you think they do it in a good way or a bad way? PROBE FOR SCALE	Very bad	1	
		Somewhat bad	2	
		Neither good nor bad	3	
		Somewhat good	4	
		Very good	5	
		Don't know/ can't say	9	

SNO.	PARTICULARS	RESPONSES	CODES	SKIP TO
20.	Do you feel that in the current situation, the media is good at educating and informing people on governance issues?	Very bad Somewhat bad Neither good nor bad Somewhat good Very good Don't know/ can't say	1 2 3 4 5 9	
21.	Do you feel that the news and information published in the news media has high social relevance?	Completely irrelevant Somewhat irrelevant Neither relevant nor irrelevant Somewhat relevant Completely relevant Don't know/ can't say	1 2 3 4 5 9	
22.	To what extent you receive support from the government?	Extremely low Somewhat low Neither low nor high Somewhat high Extremely high	1 2 3 4 5	
23.	What are the areas where the government needs NGO support?	_____ _____ _____		

Thank the respondent and close the interview

Sample Training Manual

NOTE: The training manual should work as an instruction note for field coordinators/managers, interviewers and supervisors during the training sessions. If any clarifications are made during the course of the training, these should be noted on the training manual with each of the individuals to be used as reference during the fieldwork.

Background:

This section should provide brief background of the study, the reason for conducting the survey and its utility for the State government.

Aim of Study:

To generate a report on State of Governance under five dimensions namely political, legal, administrative, economic and social.

Scope of Work:

This section should provide a detailed account of the various target groups to be interviewed for the field teams to understand the reason behind interviewing them.

Coverage and Methodology:

Provide a detailed methodology as finalized with the State government which can be easily understood by the field teams.

Method followed in filling up of questionnaire:

To collect effectively the information needed by the survey, an interviewer must understand how to ask each question, what information the question is attempting to collect and how to handle problems, which might arise during the interview. He/she must also know how to correctly record the answers the respondent gives and how to follow special instructions in the questionnaire.

Asking the questions

It is very important that an interviewer ask each question exactly as it is written in the questionnaire. While asking a question, the interviewer needs to be sure to speak slowly and clearly, so that the respondent will have no difficulty in hearing or understanding the question. At times, the interviewer may need to repeat the question in order to be sure the respondent understands it. In such cases, the question should not be paraphrased but repeated exactly as it is written.

If, after repeating a question, the respondent still does not understand it, the interviewer may have to restate the question. While restating the question the interviewer should be very sure that s/he does not alter the meaning of the original question.

In some cases, you the interviewer may have to ask additional questions (we call this probing), to obtain a complete answer from a respondent. If the interviewer does this, s/he must be careful that

probing in a “neutral” manner and in a way that does not suggest an answer to the respondent.

Recording the responses

All team members should use a good quality BLUE BALLPOINT pen to complete all questionnaires. There are two types of questions in the survey questionnaire: (1) questions with pre-coded response, and (2) open ended questions

1. Questions with pre-coded responses

For some questions, we can predict the types of responses a respondent will give. The responses to these questions are listed in the questionnaire with a code assigned to each response. The questionnaires have two types of pre-coded questions: questions that allow the respondent to give only one answer and questions that allow the respondent to give more than one answers.

A) Questions permitting only one response: An example of such a question is given below. To record a respondent’s answer the interviewer merely circle the number (code), which corresponds to this reply. Caution should be taken so that the circle surrounds only a single number so that there is no confusion later.

Q. 302. Did you vote during last assembly elections?

Yes

No 2

In some cases, pre-coded responses will include an “other” category. The “other” code should be used when the respondent’s answer is different from any of the given pre-coded responses listed for the question. For “other” for a particular question the interviewer must always write the respondent’s answer in the space provided. If more room is required, the margins or the comments section at the end should be used, and against the question “See note in comments section” should be written. The second type of pre-coded questions is given below.

It is very important that all answers are recorded neatly. For pre-coded responses, one needs to be sure that he/she circles the code for the correct response carefully, so that there is no confusion later regarding the respondent’s answer. For open-ended responses, the reply should be written legibly so that it can be read easily. If a mistake is made in entering a respondent’s answer or s/he changes his reply, the interviewer needs to be sure that s/he erases the incorrect response and enters the right answer clearly.

Following Instructions

Skip Instructions: It is important to follow the skip instructions carefully.

For example, any respondent not having any idea about avian flu should not be asked the related questions

Notice that if Code 2 is circled, one should skip to Q 304

302	Did you vote during last assembly elections?	Yes No	1 2	→Skip to 304
303	IF NO Can you please tell the reason(s) for not having voted?	Name was not there in voter list Was not in town on day of election Did not feel the need to Others (specify)	1 2 3 7	
304	Did you vote during the assembly elections before the last one?	Yes No	1 2	

Checking Completed Questionnaires

After the interviewer completes an interview, s/he must review the questionnaire carefully by checking the answer to each question. It is important to check that all the appropriate skip patterns have been followed. The review should be done BEFORE leaving the respondents, so that if a need to question the respondent further arises, s/he will still be available.

Explanations for typical terms/ words used in the questionnaire:

This section should provide detailed explanations of words or terms which have been used in the questionnaires.

Selecting an organization to conduct the field work

Scope of work:

Information needs to be collected for the various indicators under the five dimensions ie; political, legal & judicial, administrative, economic and social. The target groups identified for the purpose are citizen, employees of the government, NGO, business firms and media. The data thus obtained is intended to be used for generating scores for the State under the five dimensions.

Survey instruments:

A set of indicative survey instruments or questionnaires has been provided with this document, which needs to be adapted to the specific requirements of the State. These should be translated in the local language and back translated to ensure good quality of translation. These should be pre-tested in the field to ensure that the questionnaires are working optimally.

Tasks for survey firm:

Following tasks should be expected from the survey firm:

- Translating, pre-testing, finalizing and printing the survey instruments for all five categories- citizens, employees of the government, business firms, NGOs and media.
- Conducting fieldwork and collecting data from all five target categories mentioned
- Data entry
- Perform advanced statistical analysis as required for generating the scores

In order to fulfill the above mentioned objectives, the research firm should perform the following tasks:

1. Depute a senior professional with adequate experience in the relevant field for coordinating the entire assignment
2. Design a field work plan and get the same approved by the State government
3. Mobilize adequate number of field survey investigators to ensure that the field survey gets completed within the time schedule
4. For each team one supervisor should be appointed with adequate experience in handling field surveys
5. The firm shall also be responsible for translating and printing the required questionnaires
6. A briefing session should be arranged for 3 days in which the survey team, including
7. supervisors and senior professionals should be trained. A state government
8. representative who is deeply involved with the survey should oversee the training and provide clarifications on the questionnaire.
9. The number of investigators for briefing should be more than the required number of investigators for the survey. The final selection of investigators should be carried out by the firm based on a test

10. The field survey should be undertaken with utmost care. The firm should undertake 10 % back checks and 100 % spot checks.
11. The survey firm should strictly adhere to the sampling plan provided by the government
12. The survey firm should communicate the field movement plan to the government representative well in advance.
13. The government representative shall oversee the survey operations and the survey firm is expected to extend full cooperation in monitoring of the survey, which involves surprise checks, and verification of filled in schedules etc.
14. The survey firm should carry out social mapping in all the sample villages to identify the localities where the low income, SC&ST and Muslim households live and select the sample households from representative localities
15. The questionnaires should be coded and scrutinized properly. For this purpose the firm should employ coders and scrutinizers with adequate experience
16. The survey firm should organize the data entry and cleaning processes
17. The survey firm should handover specified number of filled in questionnaires after data entry to the government representative for their scrutiny.
18. Tabulation plan should be finalized by the firm in consultation with the government representative and also carry out the analysis and generate tables as per requirement. The analysis should be carried out using suitable statistical software.

Time Frame

1. Preparatory Work (Pre-testing the draft questionnaire, Finalizing the Questionnaire, Printing of Questionnaires, Mobilizing survey teams, etc.) – 10 days
2. Briefing and Mock Interviews – 3 days
3. Field Survey – 20 days
4. Coding and Scrutiny (To be done in parallel) - 15 days
5. Data Entry (To be done in parallel) – 10 days
6. Analysis and table generation – 15 days
7. **Total Duration – 60 days**

Deliverables

The selected firm should submit the following deliverables

1. Weekly Progress Report - field check formats in specified formats
2. 4. List of selected households
3. 5. Soft Copy of the data in SPSS Format
4. 6. Soft Copy of tables (in excel Format)

Annex 4

KISH Grid for selection of eligible respondent for citizen survey

Last digit of House listing no.	Total Number of Eligible Respondents in the Household							
	1	2	3	4	5	6	7	8
0	1	2	2	4	3	6	5	4
1	1	1	3	1	4	1	6	5
2	1	2	1	2	5	2	7	6
3	1	1	2	3	1	3	1	7
4	1	2	3	4	2	4	2	8
5	1	1	1	1	3	5	3	1
6	1	2	2	2	4	6	4	2
7	1	1	3	3	5	1	5	3
8	1	2	1	4	1	2	6	4
9	1	1	2	1	2	3	7	5

Indicator Framework

Governance Dimensions				
Political	Legal / Judicial	Administrative	Economic	Social/Environmental
1. Exercise of Franchise	1. Law & Order and Internal Security	1. Citizen Interface	1. Fiscal Governance	1. Welfare of the Poor & Vulnerable sections
2. Profile & Conduct of Political Representatives	2. Safeguarding of Basic Rights	2. Managing Human Resources	2. Business Environment	2. Role of Civil Society
3. Conduct of Political parties & Legislative	3. Citizen-friendliness of the Police	3. Financial Management	3. Support to the Primary Sector	3. Role of Media
4. Quality/ Functioning of the Political Executive	4. Police Administration & Functioning	4. Basic Service Delivery		4. Environmental Management
5. Political Decentralisation	5. Access to Justice & Judicial Administration	5. Corruption Perception, Vigilance & Enforcement		
12/12/24*	12/21/33	33/19/52	17/8/25	19/11/30
93/71/164				

* Indicators – Primary/Secondary/Total

Political Dimension of Governance

Mapping into Components and Indicators

The political dimension is the most essential aspect of governance. Without this dimension, other dimensions would be meaningless because it is the political process that brings in the key governance values of participation, accountability and transparency. As the formal political arrangements such as eligibility to vote, political parties, legislatures, etc. often coexist with informal levers to control state power, it is important to go beyond these arrangements; one way of doing this is to get a feel of the people's trust in these processes and institutions. This dimension accordingly looks at the quality of political contestation, conduct of individuals and institutions representing the people, use and abuse of political authority, decentralization of powers and citizen's faith in the political system both from a set of secondary data as also the subjective perception of different sections of society. This dimension has been broken down into five components:

1. **Exercise of franchise:** This is the doorway to democratic governance which establishes legitimacy and accountability of the government by enabling participation by the citizens. It provides opportunity to the people to voice their concerns and issues and hold the rulers accountable. To be meaningful, this process should be widely participative, transparent, fair and healthily competitive.
2. **Profile and Conduct of Political Representatives:** While the process of electoral democracy provides an enabling environment to the practice of democratic governance, it is the quality (evident in terms of conduct, attitudes and values) of the people's representatives, which determines effectiveness of accountability and participation in practice.
3. **Conduct of Political Parties & Legislature:** As political representatives generally belong to political parties and by extension the conduct of political parties in a competitive democratic environment becomes an equally important aspect of the state of governance. In particular, the role of the legislature is critical to the way governance takes shape in any particular state.
4. **Quality / Functioning of the Political Executive:** Another key aspect of political governance pertains to the quality of functioning of the political executive that has the duty of steering the government. The functioning of the Council of Ministers affects, both directly and indirectly, the nature of governance.
5. **Political Decentralisation:** Last but not the least is the quality of decentralized governance that has taken shape in the state. This not only reflects the willingness of the state to comply with constitutional imperatives, but is an important indicator of empowerment at the grassroots level.

List of Indicators for Assessing State of Governance

Governance Dimension	Component	Types of Indicators		
		Primary	Secondary	Total
Political	1. Exercise of Franchise	2	2	4
	2. Profile & Conduct of Political Representatives	3	2	5
	3. Conduct of Political parties & Legislature	2	3	5
	4. Quality/ Functioning of the Political Executive	3	1	4
	5. Political Decentralisation	2	4	6
	Total	12	12	24

List of Indicators for Assessing State of Governance

Sl. No.	Component	Sl. No.	Indicators	Description	Type of Data Source	Likely effect on quality of governance	Rationale	Related Values / Principles
1.1 1.2	Exercise of Franchise	1.	Voting percentage in assembly elections in the State	Voting percentage in assembly elections in the State	Secondary	Positive	The more the voting percentage, the more the involvement and engagement of the citizens in the governance process	Participation Accountability
		2.	Extent of non-enrollment in the voters' list	Proportion of eligible citizens who could not exercise their franchise due to name missing in the electoral list during last assembly elections	Primary (Citizen's Survey)	Negative	Higher percentage of non-enrollment indicates exclusion of citizens from exercising their franchise	Participation Accountability
		3.	Use of illegal means to influence voting	Proportion of HHs influenced through coercive measures or inducements during the last assembly elections	Primary (Citizen's Survey)	Negative	Higher percentage of households reporting they were subject to coercive means or offered inducements means that the democratic process has been distorted adversely affecting participation and fairness	Participation Rule of Law Fairness
		4.	Extent of poll related violence	Proportion of assembly constituencies not reporting any poll related violence during last assembly elections	Secondary	Negative	Higher incidence of poll-related violence indicates attempts to thwart participation of citizens in the electoral process	Participation Rule of Law

List of Indicators for Assessing State of Governance

Sl. No.	Component	Sl. No.	Indicators	Description	Type of Data Source	Likely effect on quality of governance	Rationale	Related Values / Principles
1.2	Profile & Conduct of Political Representatives	5.	Criminalization of politics	% of elected representatives (MLAs) with serious criminal charges (charges having minimum conviction of two years)	Secondary	Negative	Higher number of elected representatives with serious criminal charges erodes faith in democratic institutions besides unfavorably impacting governance.	Rule of Law Accountability
		6.	Women Empowerment	% of women elected representatives in the state legislature	Secondary	Positive	Higher number of women elected representatives, the better the quality of participation in governance	Participation Responsiveness Inclusiveness
		7.	Accessibility of elected representatives	Proportion of respondents who felt that their MLA is easily accessible to the general public	Primary (Citizen's Survey)	Positive	Better the accessibility of elected representatives, greater the likelihood that citizens are able to influence the governance process	Accountability Responsiveness
		8.	Misuse of power and authority vested in elected representatives	Proportion of respondents (HHs) opining that elected representatives in the state misuse power and authority vested in them	Primary (Citizen's Survey)	Negative	Reflects negatively on the quality of governance – misuse of power & authority directly reflects a poor state of governance	Accountability Non-Arbitrariness Fairness
		9.	Perception about corruption among legislators	Proportion of Respondents who feel corruption among legislators in the state is high/extremely high	Primary (Citizen's Survey)	Negative	High negative perception about corruption raises questions about legitimacy & accountability and it erodes faith in the institutions.	Accountability Transparency Ethical values

List of Indicators for Assessing State of Governance

Sl. No.	Component	Sl. No.	Indicators	Description	Type of Data Source	Likely effect on quality of governance	Rationale	Related Values / Principles
1.3	Conduct of political parties & Legislature	10.	Concern about welfare of people among political parties	Proportion of respondents who mention that political parties in the state are somewhat concerned or very concerned about the welfare of people, especially the poor	Primary (Citizen's Survey)	Positive	Positive perception about political parties regarding their concern of welfare of people on the other hand reinforces faith in the institutions	Accountability Responsiveness Performance
		11.	Functioning of the Legislature – Loss of time	% of time lost due to interruptions & adjournments by the assembly during the current & last assembly terms	Secondary	Negative	High negative score on this aspect reflects poor accountability and performance	Accountability Performance
		12.	Proportion of bills passed without any discussion in last 5 years.	No. of bills passed without any discussion out of total no. of bills passed in the last 5 years	Secondary	Negative	High proportion of bills passed without any discussions shows poor performance, lack of transparency & debate	Accountability Transparency Performance
		13.	Functioning of the Legislature – Citizen Perception	Proportion of respondents who rate the functioning of the state legislature as good or very good	Primary (Citizen's Survey)	Positive	Better perception on the functioning of the legislature reflects greater legitimacy & accountability	Accountability Strategic Vision Performance

List of Indicators for Assessing State of Governance

Sl. No.	Component	Sl. No.	Indicators	Description	Type of Data Source	Likely effect on quality of governance	Rationale	Related Values / Principles
		14.	Review of audit reports by Public Accounts Committee	Out of the last 5 CAG reports, how many have been examined by the Public Accounts Committee?	Secondary	Positive	Regular review of CAG reports indicates better accountability, transparency & ethical values	Accountability Transparency Ethical values
1.4	Quality/ Functioning of the Political Executive	15.	Political Stability	Was there any mid-term election in the last five years?	Secondary	Negative	Mid-term elections signifies lack of political stability and hence affects the quality of governance	Accountability Performance
		16.	Quality of Top Leadership	Proportion of respondents who feel that the leadership provided by the Chief Minister is effective or very effective	Primary (Citizen's Survey)	Positive	Positive perception of quality of leadership at the top most level indicates good leadership which is critical for good governance.	Strategic Vision Performance
		17.	Quality of Functioning of the Political Executive	Proportion of respondents who feel that the quality of functioning of the political executive (Chief Minister & the Council of Ministers) is good or very good	Primary (Citizen's Survey)	Positive	Better quality of leadership reflects in the coherence of policy making and in the performance of the governance	Strategic Vision Performance
		18.	Accessibility of Political Executive	Proportion of respondents who feel that Ministers are easily accessible to the general public	Primary (Citizen's Survey)	Positive	Better the accessibility of Ministers, greater the likelihood that citizens are able to influence the governance process	Accountability Responsiveness Participation

List of Indicators for Assessing State of Governance

Sl. No.	Component	Sl. No.	Indicators	Description	Type of Data Source	Likely effect on quality of governance	Rationale	Related Values / Principles
1.5	Political Decentralisation	19.	Voter turnout in local elections (Municipal & Panchayat)	Voter turnout in local elections (Municipal & Panchayat)	Secondary	Positive	The more the voting percentage, the more the involvement and engagement of the citizens in the governance process	Accountability Participation
		20.	Devolution of Functions to PRIs & ULBs	Proportion of functions transferred out of the mandated 29 functions to PRIs and out of the mandated 18 functions to ULBs	Secondary	Positive	Higher devolution of functions facilitates effective local governance	Accountability Participation Performance
		21.	Devolution of Finances to PRIs	% Percentage of 'untied' funds devolved to PRIs	Secondary	Positive	Higher devolution of finances facilitates effective resource allocation commensurate with functional devolution	Accountability Participation Performance
		22.	Financial strength of ULBs	Own revenue (Tax+ non-tax) revenue as a proportion of total revenue for ULBs	Secondary	Positive	Reflects positively on the quality of governance – higher own revenue makes for less dependence on state government	Accountability Participation Performance
		23.	Quality of Functioning of Gram Panchayat / Block Panchayat	Proportion of respondents who say that the functioning of Gram Panchayat / Block Panchayat is good or very good	Primary (Citizen's Survey)	Positive	Reflects positively on the quality of governance – better quality of functioning of PRIs indicates better service delivery	Accountability Participation Performance Responsiveness

List of Indicators for Assessing State of Governance

Sl. No.	Component	Sl. No.	Indicators	Description	Type of Data Source	Likely effect on quality of governance	Rationale	Related Values / Principles
		24.	Quality of Functioning of ULBs	Proportion of respondents who say that the functioning of the local authority/ municipality is good or very good?	Primary (Citizen's Survey)	Positive	Reflects positively on the quality of governance – better quality of functioning of ULBs indicates better service delivery	Accountability Participation Performance Responsiveness

Legal & Judicial Dimension of Governance

Mapping into Component, Sub Components and Indicators

The state is vested with coercive power to maintain law and order. It is one of its sovereign functions. Yet, this power is limited by citizens' rights and freedoms. Ideally, the State should exercise its right to use force in an effective and judicious manner without overriding the fundamental rights of the citizens. Another important responsibility of the state is to ensure that everybody has access to speedy justice. Both of the above have a vital implication for economic activity. When the general law and order is seen to be poor, investors, businesses, etc. stay away from the state affecting its ability to provide employment opportunities to its people. Poor performance in ensuring security, protecting rights and speedy justice would give rise to parallel power centers, which undercut the government. This dimension seeks to measure whether the state's exercise of power is within its boundaries as also its ability to effectively maintain law & order, safeguard human rights and enable access to & delivery of justice. This dimension has been broken down into four basic components.

1. **Law & Order and Internal Security:** This pertains to the basic function of the state – its *raison d'être* – to ensure that law & order prevails and citizens live in an environment wherein their lives and property are generally safe and secure.
2. **Safeguarding of basic rights:** This aspect relates to the ability of the state to protect the basic rights of the citizen, particularly those of poor, women and weaker sections.

3. **Citizen-friendliness of the Police:** The police force is an important instrumentality of the state. Its role is to protect the innocent / victim and bring to book the guilty. This is indeed the cutting edge of the governance as an inept or / and corrupt police force would fail governance as nothing else does.
4. **Police Administration & Functioning:** Effective police functioning is influenced by different internal factors. This aspect takes a closer look at those factors that reflect the quality of police administration viz. size of police force, functions assigned, training & skill development, efficiency in operations etc.
5. **Access to Justice and Judicial Administration:** Lastly, under this dimension, a significant indicator of the quality of governance relates to the access to and delivery of justice which is reflected in its capacity to provide timely justice, judicial efficiency, judicial accountability and citizen perception.

List of Indicators for Assessing State of Governance

Governance Dimension	Components	Types of Indicators		
		Primary	Secondary	Total
Legal & Judicial	1. Law & Order and Internal Security	2	2	4
	2. Safeguarding of Basic Rights	1	4	5
	3. Citizen-friendliness of the Police	5	0	5
	4. Police Administration & Functioning	2	7	9
	5. Access to Justice & Judicial Administration	2	8	10
	Total	12	21	33

List of Indicators for Assessing State of Governance

Sl. No.	Component	Sl. No.	Indicators	Description	Type of Data Source	Likely effect on quality of governance	Rationale	Related Values / Principles
1.1	Law & Order & Internal Security	1.	Change in rate of serious crimes	Annual rate of increase or decrease in incidence of serious crimes per 10,00,000 of population in the State (over last 3/5 years)	Secondary	Negative	Increase in the incidence of crime reflects poor governance	Rule of law Performance
		2.	Incidence of organised violence against the state such as naxal violence, insurgency, terrorism etc.	No. of violent incidents in the state during last one year	Secondary	Negative	Higher incidence of organised violence inhibits development & reflects government's ineffectiveness in protecting the citizens' life and property	Rule of law Performance
		3.	Police effectiveness in enforcing law & order	Proportion of respondents who believe the police is effective in enforcing law & order	Primary (Citizen's Survey)	Positive	A more positive perception about police effectiveness reflects better governance	Accountability Performance

List of Indicators for Assessing State of Governance

Sl. No.	Component	Sl. No.	Indicators	Description	Type of Data Source	Likely effect on quality of governance	Rationale	Related Values / Principles
		4.	Effectiveness of the State in handling grave security threats	Proportion of respondents who feel that the state Government is adequately prepared to prevent / handle grave security threats like extremism / militancy / naxalite violence.	Primary (Citizen's Survey)	Positive	Positive perception about state ability to ensure rule of law, peace & security promotes better climate for investment and economic activity	Rule of law
1.2	Safeguarding of Basic Rights	5.	Security of Life & Property	% of respondents who believe that their life and property are generally secure (across different segments)	Primary (Citizen's Survey)	Positive	Effective enforcement of rule of law facilitates better social & economic development	Rule of law
		6.	Incidence of human rights violations including custodial rapes and deaths.	No. of human rights violations registered	Secondary	Negative	Higher incidence of human rights violations shows poor accountability & rule of law	Accountability Rule of Law
		7.	Decrease in atrocities (crimes) against women and children	Average decrease in crime against women & children (Human Rights Commission)	Secondary	Positive	Higher incidence of atrocities against the women & dalits indicate poor state performance on safeguarding of basic rights	Equity / Inclusiveness

List of Indicators for Assessing State of Governance

Sl. No.	Component	Sl. No.	Indicators	Description	Type of Data Source	Likely effect on quality of governance	Rationale	Related Values / Principles
		8.	Decrease in atrocities (crimes) against Dalits (SC/STs)	Average decrease in crime against dalits (Human Rights Commission)	Secondary	Positive	of the weaker sections	
		9.	Under-trials held for more than 1 year	Under-trials held for more than 1 year	Secondary	Negative	It reflects the violation of the right of under-trials for speedy justice.	Performance Accountability
1.3	Citizen-friendliness of the Police	10.	Police responsiveness to the needs of the citizen	Proportion of respondents who feel that the police is responsive / very responsive to the needs of the citizen	Primary (Citizen's Survey)	Positive	Better responsiveness to citizens reflects accountability in police administration	Accountability Responsiveness
		11.	Ease of filing FIRs	Proportion of respondents who feel that the lodging an FIR is easy / very easy	Primary (Citizen's Survey)	Positive	Easier filing of FIR makes the police more accessible & aids crime detection & reporting.	Responsiveness
		12.	Undue harassment by Police	Proportion of respondents who fear undue harassment by the police if they approach them	Primary (Citizen's Survey)	Negative	Higher score reflects the disconnect between the police and the people and would lead to either the victims silently bearing their suffering or seeking other means of redressing their grievances which would undercut the	Responsiveness
		13.	Fairness in dealing with accused	%age of respondents who believe that they will be fairly treated if arrested	Primary (Citizen's Survey)	Positive		Responsiveness Fairness

List of Indicators for Assessing State of Governance

Sl. No.	Component	Sl. No.	Indicators	Description	Type of Data Source	Likely effect on quality of governance	Rationale	Related Values / Principles
		14.	Corruption perception	%age of respondents who agree that people need to pay bribe to law enforcement agencies/officials for getting rightful due or escaping liability under law	Primary (Citizen's Survey)	Negative	government by giving raise to parallel power centers.	Accountability Transparency Ethics
1.4	Police Administration & functioning	15.	Urban Police Stations to population ratio	Number of Police Stations per 10,00,000 Urban population	Secondary	Positive	Reflects positively on the quality of governance – More police stations (as per norms) enable better law & order	Rule of Law
		16.	Rural Police Stations to population ratio	Number of Police Stations per 2,00,000 of rural population	Secondary	Positive		
		17.	Police personnel to population ratio	No. of police personnel per 1,00,000 population	Secondary	Positive	More police personnel in accordance to norms enable better policing	Rule of Law
		18.	Ratio of women police personnel	Women Police Personnel as a proportion of the total Police Force	Secondary	Positive		
		19.	Police deployed in non-core functions	Proportion of police force deployed in non-core functions (protocol, security for VIPs etc.)	Secondary	Negative	Higher proportion deployed for non-core functions affects police functioning in core areas adversely	Rule of Law Performance

List of Indicators for Assessing State of Governance

Sl. No.	Component	Sl. No.	Indicators	Description	Type of Data Source	Likely effect on quality of governance	Rationale	Related Values / Principles
		20.	Knowledgeable & skillful police force	No. of police personnel who feel that they are adequately equipped with knowledge & skills to function effectively / Total No. of respondents	Primary (Employees' Survey)	Positive	A knowledgeable & skillful police force is more efficient, responsive and accountable.	Rule of Law Performance Accountability Responsiveness
		21.	Political interference in police administration	Proportion of police personnel who feel that there is a high/very high degree of political interference in police administration	Primary (Employees' Survey)	Negative	Greater political interference impedes efficiency, effectiveness of the police.	Performance Accountability Fairness
		22.	Average Time taken to file charge sheet	Average time taken in months to file charge sheet from the date of FIR.	Secondary	Negative	More time taken indicates relatively poorer performance.	Performance
		23.	Conviction rate in criminal cases	%age of convictions secured in Criminal Cases in last three years	Secondary	Positive	Higher conviction rates imply better efficiency in investigation & prosecution.	Performance
1.4	Access to Justice & Judicial Accountability	24.	Average no. of cases disposed per judge in high court	Average no. of cases disposed per judge annually in high court	Secondary	Positive	Higher disposal rates enable speedier justice and lower backlog	Rule of law Performance

List of Indicators for Assessing State of Governance

Sl. No.	Component	Sl. No.	Indicators	Description	Type of Data Source	Likely effect on quality of governance	Rationale	Related Values / Principles
		25.	Average no. of cases disposed per judge in subordinate courts	Average no. of cases disposed per judge annually in subordinate courts	Secondary	Positive		
		26.	Cases pending for more than 5 years in High Court	Proportion of cases pending for more than 5 years in High Court out of total cases pending in High Court	Secondary	Negative	It reflects inefficiency in the judicial performance as well as delayed delivery of justice.	Rule of law Performance
		27.	Cases pending for more than 5 years in Subordinate Courts	Proportion of cases pending for more than 5 years in subordinate courts out of total cases pending in High Court	Secondary	Negative		
		28.	Cases disposed under Sec. 80	Proportion of cases disposed at the level of Sec. 80 Notice sent to the Department before filing a court case	Secondary	Positive	More cases referred under Sec 80 or through ADR mechanisms reduce the burden of the courts and makes for speedier delivery of justice	Rule of law Performance Rule of law Performance
		29.	Proportion of cases referred to ADR mechanism	Proportion of cases referred to ADR mechanism u/s 89 C.P.C by the Civil Court.	Secondary	Positive		

List of Indicators for Assessing State of Governance

Sl. No.	Component	Sl. No.	Indicators	Description	Type of Data Source	Likely effect on quality of governance	Rationale	Related Values / Principles
		30.	Confidence in the judicial system	Proportion of respondents who have high / very high degree of confidence in the judicial system	Primary (Citizen's Survey)	Positive	More confidence in the judiciary reflects better governance & rule of law	Rule of law Performance Accountability
		31.	Corruption perception	Proportion of respondents who believe that the judicial system is not corrupt	Primary (Citizen's Survey)	Negative	It reflects lack of accountability, transparency in the governance process	Accountability Transparency Ethics
		32.	Complaints against judges	% of judges against whom complaints have been filed	Secondary	Negative	Higher figures indicate poor accountability and performance of the judiciary	
		33.	Transparency in judiciary under RTI	Whether proactive disclosure under Section 4(1) b of the RTI Act, 2005 has been made by the High Court	Secondary	Positive	Compliance with RTI provisions reflects accountability & transparency	Accountability Transparency

Administrative Dimension of Governance

Mapping into Component, Sub Components and Indicators

The administrative dimension is a critical aspect of governance because it reflects the government's ability and capacity to effectively deliver basic services viz. primary healthcare, education, water & sanitation, basic infrastructure etc. to the citizens. This capacity is in turn determined by how efficiently it manages its human and financial resources and deals with corruption. The administrative dimension determines the quality of life of people in general and those of poor and disadvantaged in particular. This dimension has been broken down into five basic components:

1. **Citizen Interface:** This component indicates the citizen-centricity of government agencies in their day-to-day functioning viz. accessibility, responsiveness, quality of grievance redressal /complaint handling, compliance with RTI Act provisions, use of IT etc.
2. **Managing Human Resources:** This aspect looks at how human resources in government are managed with particular focus on the profile of the staffing, recruitment process, transparency in transfers & postings, training & skill building, motivation levels among employees, performance appraisal etc.
3. **Financial Management:** A key aspect of governance is effective financial management. This aspect examines the quality of financial management in terms of expenditure patterns, liabilities, outstanding loans and compliance to basic financial accountability systems like audit etc.
4. **Basic Service Delivery:** Perhaps the most fundamental aspect of administrative governance is the delivery of basic services. This aspect is sought to be measured through secondary sources & citizen feedback on the quality of basic services such as primary healthcare services, primary schooling, drinking water & sanitation facilities, public distribution system, electricity & roads & transportation.
5. **Corruption Perception, Vigilance & Enforcement:** Lastly, this dimension also examines corruption (in terms of citizen perception) and vigilance mechanisms and the willingness of the state to punish the defaulters, particularly those at the higher echelons of administration.

List of Indicators for Assessing State of Governance

Governance Dimension	Components	Types of Indicators		
		Primary	Secondary	Total
Administrative	1. Citizen Interface	4	3	7
	2. Managing Human Resources	3	6	9
	3. Financial Management	1	5	6
	4. Basic Service Delivery	22	1	23
	5. Corruption Perception, Vigilance & Enforcement	3	4	7
	Total	33	19	52

List of Indicators for Assessing State of Governance

Sl. No.	Component	Sl. No.	Indicators	Description	Type of Data Source	Likely effect on quality of governance	Rationale	Related Values / Principles
1.1	Citizen Interface	1.	Accessibility of government functionaries to citizens	Proportion of respondents who say government functionaries are usually accessible to citizens	Primary (Citizen's Survey)	Positive	Better citizen perception on these parameters indicates better quality of service delivery.	Accountability Performance Responsiveness
		2.	Responsiveness to the needs of the citizens	Proportion of respondents who say that the government functionaries are responsive or very responsive to the needs of the citizens	Primary (Citizen's Survey)	Positive		
		3.	Quality of grievance redressal /complaint handling	Proportion of respondents who say that the quality of grievance redressal (complaint handling) by government agencies is satisfactory or very good	Primary (Citizen's Survey)	Positive		
		4.	Awareness of the RTI Act	Proportion of the population aware of the RTI Act	Primary (Citizen's Survey)	Positive	Higher scores indicate better implementation of the RTI Act and better	Accountability Transparency

List of Indicators for Assessing State of Governance

Sl. No.	Component	Sl. No.	Indicators	Description	Type of Data Source	Likely effect on quality of governance	Rationale	Related Values / Principles
		5.	Proactive Disclosure by Govt. Departments under RTI Act	% of departments (HoDs) disclosing information voluntarily under RTI	Secondary	Positive	transparency & openness in administration.	
		6.	Disposal of requests for information under RTI Act	Proportion of requests where information was provided in time	Secondary	Positive		
		7.	Use of IT in Governance	e-Readiness Index (NCAER)	Secondary	Positive	Better index scores reflect better use of technological resources leading to better governance.	
1.2	Managing Human Resources	8.	Managerial profile of government	Proportion of employees in Groups I & II to total number of govt. employees	Secondary	Positive	More managerial capacity (as per norms) indicates better institutional capacity and hence better performance.	Performance
		9.	Women in Government Service	Proportion of women in government service	Secondary	Positive	Adequate representation of women in government service indicates equity & inclusiveness in administration.	Equity / Inclusiveness

List of Indicators for Assessing State of Governance

Sl. No.	Component	Sl. No.	Indicators	Description	Type of Data Source	Likely effect on quality of governance	Rationale	Related Values / Principles
		10.	Regularity in recruitment	No. of times recruitments were done for Group I & II cadres in last five years by the Public Service Commission	Secondary	Positive	It reflects better human resource management. (Norm based – Once a year is ideal)	Effectiveness / Efficiency
		11.	Tenural Security	Average tenure of a) District Collector b) SP of district	Secondary	Positive	Tenural security leads to stability, better planning & implementation & less political interference. (Norm based – ideal is 3 years)	
		12.	Fairness & transparency in transfers & postings	Proportion of respondents who say that transfers / postings are usually made through a fair & transparent process	Secondary	Positive	Fairness & Transparency in transfer & postings discourages corruption & patronage while enhancing performance.	Effectiveness / Efficiency Transparency Fairness
		13.	Quality of performance appraisal process	Proportion of respondents who rate the performance appraisal system as being good or very good (does it truly reflect performance?)	Primary (Employees' Survey)	Positive	Better quality of performance appraisal enhances accountability and performance.	Accountability Effectiveness / Efficiency

List of Indicators for Assessing State of Governance

Sl. No.	Component	Sl. No.	Indicators	Description	Type of Data Source	Likely effect on quality of governance	Rationale	Related Values / Principles
		14.	Incentives for performing well	Proportion of respondents who say that there are adequate incentives for performing well on their jobs	Primary (Employees' Survey)	Positive	Indicates better enabling conditions for performing on the job.	Effectiveness / Efficiency
		15.	Adequacy of knowledge & skills	Proportion of employees who say they are well equipped to meet the requirements / challenges of their job	Primary (Employees' Survey)	Positive	Indicates the capability to perform better.	Effectiveness / Efficiency
		16.	Importance of training	Proportion of departmental budget allocated for training (average)	Secondary	Positive	Indicates appropriate resource allocation and strategic planning to build government capacities	Strategic Vision Performance
1.3	Financial Management	17.	Savings rate as a proportion of total grants	Total savings in the budget as a proportion of total grants	Secondary	Negative	Higher savings reveal poor financial planning and inability to spend resources.	Performance
		18.	Extent of 'March Rush'	% of expenditure incurred in March to total expenditure	Secondary	Negative	Higher expenditure indicates poor financial planning & management.	Performance
		19.	Pendency of Utilization Certificates from grant in aid institutions	% change in value of pending Utilization Certificates from grant in aid institutions	Secondary	Negative	Non-submission of utilization certificate or detailed contingent bills implies potential risk of misutilization of	Performance Accountability

List of Indicators for Assessing State of Governance

Sl. No.	Component	Sl. No.	Indicators	Description	Type of Data Source	Likely effect on quality of governance	Rationale	Related Values / Principles
		20.	Pendency of Abstract Contingent Bills	% change in value of pending Abstract Contingent Bills	Secondary	Negative	government monies.	Performance Accountability
		21.	Pendency of Audit observations	% of CAG's audit observations pending for more than 5 years	Secondary	Negative	Higher pendency indicates poor accountability	Accountability
		22.	Quality of financial management in government	Proportion of respondents who say that the quality of financial management in government in good/very good	Primary (Employees' Survey - Management)	Positive	Better scores indicate better financial control and management of finances in government.	Accountability
1.4	Basic Service Delivery	Healthcare						
		23.	Accessibility of the nearest primary/community health centre	% of users who say that the primary/community health centre is easily accessible	Primary (Citizen's Survey)	Positive	These indicators reflect the nature & quality of healthcare service delivery.	Performance Accountability Responsiveness
		24.	Availability of doctors at the primary/community health centre	% of users who say that the doctor at the primary/community health centre is usually/always available	Primary (Citizen's Survey)	Positive		

List of Indicators for Assessing State of Governance

Sl. No.	Component	Sl. No.	Indicators	Description	Type of Data Source	Likely effect on quality of governance	Rationale	Related Values / Principles
		25.	Availability of medicines at the primary/community health centre	% of users who say that medicines are usually/always available at the primary/ community health centre	Primary (Citizen's Survey)	Positive		
		26.	Visit by community health worker (ANM)	% of users (women) reporting visit by community health worker (ANM) to their households during the last three months	Primary (Citizen's Survey)	Positive		
		27.	Quality of healthcare services provided by the primary/community health centre	% of users who say they are satisfied or very satisfied with the health care services provided by the primary/ community health centre	Primary (Citizen's Survey)	Positive		
		Education						
		28.	Accessibility of nearby primary school	% of users (parents) who say that the primary school is easily accessible	Primary (Citizen's Survey)	Positive	These indicators reflect the nature & quality of education at the primary level.	Performance Accountability Responsiveness

List of Indicators for Assessing State of Governance

Sl. No.	Component	Sl. No.	Indicators	Description	Type of Data Source	Likely effect on quality of governance	Rationale	Related Values / Principles
		29.	Availability of teacher at the primary school	% of users (parents) who say that the teacher at the primary school is usually/always available	Primary (Citizen's Survey)	Positive		
		30.	Quality of mid-day meals at the primary school	% of users (parents) who mention they are satisfied or very satisfied with the quality of mid-day meals provided in primary schools	Primary (Citizen's Survey)	Positive		
		31.	Quality of teaching provided at the primary school	% of users (parents) who mention they are satisfied or very satisfied quality of teaching provided at the primary school	Primary (Citizen's Survey)	Positive		
		32.	Schools without bathroom facilities	Proportion of schools without bathroom facilities	Secondary	Negative		
		Water & Sanitation						
		33.	Access to drinking water	% of HHs having access to drinking water	Primary (Citizen's Survey)	Positive	These indicators reflect the nature & quality of service delivery on water &	Performance Accountability Responsiveness

List of Indicators for Assessing State of Governance

Sl. No.	Component	Sl. No.	Indicators	Description	Type of Data Source	Likely effect on quality of governance	Rationale	Related Values / Principles
		34.	Adequacy of water supply	% of HHs mentioning that the quantity of water supply is adequate to take care of the needs of the household	Primary (Citizen's Survey)	Positive	sanitation.	
		35.	Quality of drinking water supplied	% of HHs mentioning that the quality of drinking water supplied is good/very good	Primary (Citizen's Survey)	Positive		
		36.	Access to basic sanitation facilities	% of HHs having access to public/individual sanitation facilities	Primary (Citizen's Survey)	Positive		
		37.	Disposal of garbage (Urban)	% of HHs mentioning that there is an effective garbage disposal system in their locality	Primary (Citizen's Survey)	Positive		
		38.	Existence of drainage facility (Urban)	% of HHs mentioning that there is an effective drainage system in their locality	Primary (Citizen's Survey)	Positive		
		<u>Public Distribution System</u>						

List of Indicators for Assessing State of Governance

Sl. No.	Component	Sl. No.	Indicators	Description	Type of Data Source	Likely effect on quality of governance	Rationale	Related Values / Principles
		39.	Quality of functioning of the public distribution system	% of users reporting satisfaction on the functioning of the fair price shops	Primary (Citizen's Survey)	Positive	These indicators reflect the nature & quality of service to ensure food security.	Performance Accountability Responsiveness
		40.	Availability of food grains	% of users mentioning that food grains are usually / always available at PDS outlets	Primary (Citizen's Survey)	Positive		
		41.	Quality of food grain supplied	% of users mentioning that the quality of food grain supplied through the PDS is good/very good	Primary (Citizen's Survey)	Positive		
		<u>Electricity</u>						
		42.	Access to Electricity	% of households having electricity connection	Primary (Citizen's Survey)	Positive	These indicators reflect service delivery pertaining to access & supply of electricity.	Performance Accountability Responsiveness
		43.	Regularity of electric supply	% of households reporting satisfaction on the regularity of electric supply	Primary (Citizen's Survey)	Positive		
		<u>Roads & Transportation</u>						
		44.	Quality of roads	% of people reporting satisfaction on the quality of roads in their town/village	Primary (Citizen's Survey)	Positive	These indicators reflect service delivery pertaining to roads & transportation.	Performance Accountability Responsiveness

List of Indicators for Assessing State of Governance

Sl. No.	Component	Sl. No.	Indicators	Description	Type of Data Source	Likely effect on quality of governance	Rationale	Related Values / Principles
		45.	Availability of transport facilities	% of people reporting satisfaction on the quality of transportation facilities available	Primary (Citizen's Survey)	Positive		
1.5	Corruption Perception, Vigilance & Enforcement	46.	Extent of corruption	Extent of corruption in administration & in the delivery of basic services	Primary (Citizen's Survey)	Negative	These parameters indicate the extent of corruption in administration.	Accountability Transparency
		47.	Incidence of bribery	Proportion of respondents who mention they have paid bribe to government officials for any service received in the last one year	Primary (Citizen's Survey)	Negative		
		48.	Corruption trends	Over the last five years, to what extent has corruption reduced or increased?	Primary (Citizen's Survey)	Negative		
		49.	Whether state government accepted recommendations of the State Vigilance Commission	Proportion of cases where state government did not accept recommendations of the State Vigilance Commission	Secondary	Positive	Higher proportion indicates government commitment to tackle corruption at high levels of public administration.	

List of Indicators for Assessing State of Governance

Sl. No.	Component	Sl. No.	Indicators	Description	Type of Data Source	Likely effect on quality of governance	Rationale	Related Values / Principles
		50.	Conviction rate by ACB	Proportion of cases in which conviction was secured by anti-corruption bureau	Secondary	Positive	Indicates better enforcement systems in governance	Accountability Transparency Non-arbitrariness
		51.	Profile of prosecutions	Proportion of prosecutions pertaining to AIS Officers & Heads of Departments (HoDs) out of total no. of prosecutions during last 3 years	Secondary	Positive		
		52.	Disposal rate of departmental enquiries on corruption	Average disposal rate (%) of departmental enquiries on corruption pertaining to Group I officers	Secondary	Positive		

Economic Dimension of Governance

Mapping into Component, Sub Components and Indicators

The economic dimension pertains to the ability of the state to ensure macro-economic stability and create conducive climate for economic activity to take place across different sectors of the economy. Governance is also reflected in the state's ability to provide support to the primary sector (agriculture & allied activities). This dimension has been broken down into three basic components:

1. **Fiscal Governance:** This aspect of economic governance relates to how the state has managed its finances over the short to medium term. This is examined both in terms of revenue mobilization indicators as well as indicators pertaining to expenditure management.
2. **Business Environment:** This component pertains to those aspects of economic governance which affect the way businesses operate within the state and includes general investment climate, legal aspects, procedural issues, infrastructure & manpower, regulatory quality etc.
3. **Support to the Primary Sector:** Given that the primary sector is the backbone of the economy with very high dependence on it among poorer sections of the population, the quality of governance is also reflected in the state of the primary sector and how the state provides various services to support this sector through extension, input supply & marketing linkages.

Economic Dimension of Governance
Mapping into Component, Sub Components and Indicators

Governance Dimensions	Component	Types of indicators		
		Primary	Secondary	Total
Economic	Fiscal Governance	1	5	6
	Business Environment	9	2	11
	Support to the Primary Sector	7	1	8
	Total	17	8	25

List of Indicators for Assessing State of Governance

Sl. No	Component	Sl. No	Indicators	Description	Type of Data Source	Likely effect on quality of governance	Rationale	Related Values / Principles
1.1	Fiscal Governance		Enactment of FRBM Act	Has the State Government enacted Fiscal Responsibility and Budget Management Act?	Secondary	Positive	It indicates a commitment to fiscal prudence and good fiscal governance.	Strategic Vision Accountability Efficiency
			Reduction in revenue deficit	Has the State Government achieved the targeted reduction in revenue deficit?	Secondary	Positive		
			Tax revenue	Tax revenue as a proportion of GSDP	Secondary	Positive	Effective revenue mobilization through taxes enables adequate finances for capital expenditure, and effective delivery of services & development programmes.	Performance
			Proportion of establishment costs	Wages & pension as a proportion of revenue expenditure	Secondary	Negative	Higher costs can limit resources available for capital expenditure, service delivery & development programmes.	Performance
			Debt servicing	Debt servicing as a proportion of revenue expenditure	Secondary	Negative		

List of Indicators for Assessing State of Governance

Sl. No	Component	Sl. No	Indicators	Description	Type of Data Source	Likely effect on quality of governance	Rationale	Related Values / Principles
			Quality of fiscal governance	Proportion of respondents who believe that the government has managed the finances of the state in a proper manner	Primary (Citizen's Survey)	Positive	It indicates fiscal prudence, financial accountability and effective financial management.	Performance Strategic Vision Accountability Efficiency
1.2 2.1	Business Environment		Investment climate	Proportion of respondents who rate the investment climate in the state as good or excellent	Primary (Business Survey)	Positive	Better investment climate encourages private investment	Performance Strategic Vision
		Single-window facility for investors	Is there a single-window facility available for potential investors Proportion of respondents who rate the quality of functioning of the single-window facility as good or very good	Primary (Business Survey)	Positive	It indicates efforts to curb red tape and corruption while ensuring an effective investment climate.	Accountability Transparency Performance	
		Ease of registering a business	Proportion of respondents who say it is easy/very easy to register a business in the state	Primary (Business Survey)	Positive	Ease of registering business aids private investment and economic development.	Accountability Transparency Performance	

List of Indicators for Assessing State of Governance

Sl. No	Component	Sl. No	Indicators	Description	Type of Data Source	Likely effect on quality of governance	Rationale	Related Values / Principles
			Availability of skilled labour	Proportion of respondents who say there is adequate availability of skilled labour	Primary (Business Survey)	Positive	Better availability of skilled labour indicates better planning, investment & encourages private investment.	Strategic Vision
			Investment friendly employment laws	Proportion of respondents who say employment laws in the state are investment friendly	Primary (Business Survey)	Positive	It indicates encouragement for private investment & industry.	Performance
			Days lost due to strikes & lock-out	Proportion of days lost due to strikes & lock outs out of total no. of working days available in a year	Secondary	Negative	More days lost indicate less productivity and efficiency.	Performance
			Enforcement of contracts	Proportion of respondents who say it is easy or very easy to enforce a contract	Primary (Business Survey)	Positive	It provides encouragement for private investment & industry.	Rule of Law Performance Fairness
			Access to credit	Proportion of respondents who say it is easy or very easy to access credit	Primary (Business Survey)	Positive	It indicates a better investment climate.	Performance

List of Indicators for Assessing State of Governance

Sl. No	Component	Sl. No	Indicators	Description	Type of Data Source	Likely effect on quality of governance	Rationale	Related Values / Principles
			Quality of physical infrastructure	Proportion of respondents who say the quality of physical infrastructure provided (such as electricity, water, transport, communication etc.) is good or very good	Primary (Business Survey)	Positive	Better quality of physical infrastructure indicates better planning and a better investment climate.	Strategic Vision Performance
			e-Procurement	To what extent is the procurement process e-enabled?	Secondary	Positive	e-enablement ensures better accountability & transparency in procurement.	Accountability Transparency
			Payment of bribes	Proportion of respondents who say they have to make irregular payments/bribes to government officials	Primary (Business Survey)	Negative	Higher incidence of payment of bribes indicates a poor investment climate and higher transaction costs.	Accountability Ethics
1.3	Support to the Primary sector		Rural indebtedness	Proportion of farmer households with high debt burden	Primary (Citizen's Survey - Farmers)	Negative	It reflects poor performance & support as well as a failure to address the needs of the small and marginal farmers.	Equity Performance Responsiveness
			Incidence of farmers suicides	No. of farmer suicides reported (last 3 years) as a proportion of total farmers suicides in the country	Secondary	Negative		

List of Indicators for Assessing State of Governance

Sl. No	Component	Sl. No	Indicators	Description	Type of Data Source	Likely effect on quality of governance	Rationale	Related Values / Principles
			Welfare of small & marginal farmers	Proportion of respondents who say that the government is concerned about the welfare of small and marginal farmers	Primary (Citizen's Survey - Farmers)	Positive	It indicates better government performance in addressing the needs of the farmers.	Equity Performance
			Quality of extension services	Proportion of respondents who say the quality of <i>extension services</i> provided by government is good or very good	Primary (Citizen's Survey - Farmers)	Positive		
			Quality of irrigation facilities	Proportion of respondents who say the quality of <i>irrigation facilities</i> created by the government is good or very good	Primary (Citizen's Survey - Farmers)	Positive		
			Quality of agricultural inputs	Proportion of respondents who say the quality of <i>agricultural inputs</i> provided by the government is good or very good	Primary (Citizen's Survey - Farmers)	Positive		

List of Indicators for Assessing State of Governance

Sl. No	Component	Sl. No	Indicators	Description	Type of Data Source	Likely effect on quality of governance	Rationale	Related Values / Principles
			Quality of marketing support	Proportion of respondents who say the quality of <i>marketing support</i> provided by the government is good or very good	Primary (Citizen's Survey - Farmers)	Positive		
			Quality of credit facility	Proportion of respondents who say the quality of <i>credit facility</i> extended by the government is good or very good	Primary (Citizen's Survey - Farmers)	Positive		

Social Dimension of Governance

Mapping into Component, Sub Components and Indicators

The social dimension pertains to the ability of the state to take care of the vulnerable sections of the society. At the same time, given the importance of the civil society and media in the governance process, this dimension also seeks to assess governance by examining the role & quality of the civil society & media. Environmental management as a separate component is also included given its increasing importance in governance. This dimension has been broken down into four basic components:

1. **Welfare of the Poor & Vulnerable:** The changing emphasis of governance (both in expression and action) towards the welfare of the poor and the marginalized is well recognized. The test of governance in that sense lies in the state of the poor and the vulnerable segments such as the poor, women, children, minorities, etc.
2. **Role of Civil Society:** It is not only important for the civil society to play a watchdog role in governance, it is also important for it to be a responsible actor. Hence this aspect of governance pertains to two basic aspects (a) the space and the role that civil society gets to occupy in the governance process and (b) the quality and capacity of the civil society organizations to take up the role that they are expected of them.
3. **Role of Media:** The mass media, both print and audio-visual, wields a lot of influence in shaping public opinion. More than civil society organizations, it is important for the media to be a responsible actor in the governance process while enacting its traditional role as an instrument of social change and empowerment. Hence this aspect pertains to two basic aspects (a) the space and the role that the media occupies in the governance process and (b) the quality and ability of the media to be the voice of the people and play the role of an independent, unbiased agency.
4. **Environmental Management:** Lastly, this component seeks to examine governance from the perspective of the state as the custodian of natural resources and its ability to regulate and manage natural resources for sustainable development.

List of Indicators for Assessing State of Governance

Governance Dimension	Components	Types of Indicators		
		Primary	Secondary	Total
Social	1. Welfare of the Poor & Vulnerable	4	8	12
	2. Role of Civil Society	5	0	5
	3. Role of Media	6	0	6
	4. Environmental Management	4	3	7
	Total	19	11	30

List of Indicators for Assessing State of Governance

Sl. No.	Component	Sl. No.	Indicators	Description	Type of Data Source	Likely effect on quality of governance	Rationale	Related Values / Principles
1.1	Welfare of the Poor & Vulnerable sections	1.	Reduction in BPL population	% decrease in BPL population over last 10 years	Secondary	Positive	It indicates better government performance in poverty reduction.	Performance Equity
		2.	Addressing the needs of the poor	Proportion of respondents who felt that the government has adequately addressed the needs of the poor	Primary (Citizen's Survey – BPL)	Positive	It indicates pro-poor governance.	Performance Equity Responsiveness
		3.	BPL access to the PDS	Proportion of BPL HHs getting due monthly entitlements through the public distribution system	Secondary	Positive	Better scores indicate better government performance in addressing the needs of the poor & the vulnerable.	Performance Equity Responsiveness
		4.	BPL access to safe drinking water	Proportion of BPL HHs having access to safe drinking water	Secondary	Positive		
		5.	BPL access to public/individual toilets	Proportion of BPL HHs with access to public/individual toilets	Secondary	Positive		
		6.	BPL access to electricity	Proportion of BPL HHs having electricity connection	Secondary	Positive		
		7.	BPL families provided with housing benefits	Proportion of BPL families provided with housing benefits	Secondary	Positive		

List of Indicators for Assessing State of Governance

Sl. No.	Component	Sl. No.	Indicators	Description	Type of Data Source	Likely effect on quality of governance	Rationale	Related Values / Principles
		8.	Old age & widow pensions benefits	% of target beneficiaries getting old age & widow pensions benefits	Secondary	Positive		
		9.	Addressing the welfare needs of women & children	Proportion of respondents who felt that the government has adequately addressed the welfare needs of women & children	Primary (Citizen's Survey – Women)	Positive	It indicates a commitment of the state to address the issues specific to the needs of women and children.	Equity Performance Responsiveness
		10.	BPL women assisted through micro-credit	% of BPL women assisted through micro-credit	Secondary	Positive		
		11.	Freedom to practice one's religion	Proportion of respondents who say they have the freedom to practice their religion	Primary (Citizen's Survey)	Positive	Higher scores indicate conducive social environment for the minorities and socially weaker sections	
		12.	Absence of Social Discrimination	Proportion of respondents who say they do not face discrimination in social life due to their religious, social or cultural identity	Primary (Citizen's Survey)	Positive		

List of Indicators for Assessing State of Governance

Sl. No.	Component	Sl. No.	Indicators	Description	Type of Data Source	Likely effect on quality of governance	Rationale	Related Values / Principles
1.2	Role of Civil Society	13.	Environment for functioning of civil society organisations	Proportion of respondents who rate the overall environment for functioning of civil society organisations & NGOs in the State as being conducive	Primary (NGO Survey)	Positive	A better environment facilitates better CSO participation.	Participation Accountability
		14.	NGOs involved in policy formulation	% of NGOs who reported to have been involved by the Government in policy formulation	Primary (NGO Survey)	Positive	Reflects positively on the quality of governance – it reflects a participatory approach to governance by the government.	Participation Accountability
		15.	NGOs involved in monitoring & evaluation of programmes	% of NGOs who reported to have been involved by the Government in monitoring & evaluation of programmes and schemes	Primary (NGO Survey)	Positive		
		16.	Political / Bureaucratic Interference in the functioning of NGOs by elected representatives	Proportion of respondents who feel there is adverse political / bureaucratic interference in the functioning of NGOs	Primary (NGO Survey)	Negative	Reflects negatively on the quality of governance – interference breeds inefficiencies and discourages CSOs to play a proactive role in governance.	Accountability

List of Indicators for Assessing State of Governance

Sl. No.	Component	Sl. No.	Indicators	Description	Type of Data Source	Likely effect on quality of governance	Rationale	Related Values / Principles
		17.	Bribes paid by NGOs	% of NGOs reported giving bribe or fringe benefits to politicians / administrators in last one year	Primary (NGO Survey)	Negative	Reflects negatively on the quality of governance – it indicates a negative climate for functioning of CSOs.	Accountability Ethics
1.3	Role of Media	18.	Environment for functioning of the media	Proportion of respondents who rate the overall environment for functioning of the media in the state as conducive	Primary (Media Survey)	Positive	Reflects positively on the quality of governance – a better environment facilitates better media performance.	Participation Accountability
		19.	Independent Functioning of media	Proportion of respondents who feel that the government has allowed the media to function independently	Primary (Media Survey)	Positive	Reflects positively on the quality of governance – a better environment facilitates better media performance.	Accountability
		20.	Political / bureaucratic interference in the functioning of the media	Proportion of respondents who feel there is adverse political / bureaucratic interference in the functioning of the media	Primary (Media Survey)	Negative	Reflects negatively on the quality of governance – interference breeds inefficiencies and discourages the media to play a proactive role in governance.	Accountability

List of Indicators for Assessing State of Governance

Sl. No.	Component	Sl. No.	Indicators	Description	Type of Data Source	Likely effect on quality of governance	Rationale	Related Values / Principles
		21.	Extent of freedom from business interests	Proportion of respondents who feel that the media enjoys great freedom from business interests	Primary (Media Survey)	Positive	Reflects positively on the quality of governance – greater freedom enables the media to be fair and non-partisan.	Accountability
		22.	Freedom to collect facts & information about the government	Proportion of respondents who feel that the media enjoys freedom to collect facts & information about the government	Primary (Media Survey)	Positive	Reflects positively on the quality of governance – greater freedom enables the media to be efficient.	Accountability
		23.	Extent of social relevance of news & information	Proportion of respondents who feel that the news and information published in the news media has high social relevance	Primary (Citizen's Survey)	Positive	Reflects positively on the quality of governance – better ability indicates better media responsibility and performance.	Performance
1.4	Environmental Management	24.	Incidence of Groundwater levels	Average increase or decrease in ground water level over last five years	Secondary	Positive	Reflects positively on the quality of governance – better scores reflect a concern for sustainable development and management of natural resources.	Performance Strategic Vision
		25.	Incidence of forest cover	Average increase or decrease in forest cover over last five years	Secondary	Positive		

List of Indicators for Assessing State of Governance

Sl. No.	Component	Sl. No.	Indicators	Description	Type of Data Source	Likely effect on quality of governance	Rationale	Related Values / Principles
		26.	Government effectiveness in controlling air pollution	Proportion of respondents who say that the government has been effective in controlling air pollution	Primary (Citizen's Survey)	Positive	Reflects positively on the quality of governance – better scores indicates ability of the government to take care of the environment	Performance Strategic Vision
		27.	Government effectiveness in controlling pollution of water bodies	Proportion of respondents who say that the government has been effective in controlling pollution of water bodies	Primary (Citizen's Survey)	Positive		
		28.	Government effectiveness in promoting environmentally friendly agricultural practices	Proportion of respondents who say that the government has effectively promoted environmentally friendly agricultural practices	Primary (Citizen's Survey - Farmers)	Positive		
		29.	Encouragement for water conservation through watershed projects, rain water harvesting etc	Proportion of respondents who say that the government has encouraged water conservation through watershed projects, rain water harvesting etc.	Primary (Citizen's Survey)	Positive		

Why to select?

List of Indicators for Assessing State of Governance

Sl. No.	Component	Sl. No.	Indicators	Description	Type of Data Source	Likely effect on quality of governance	Rationale	Related Values / Principles
		30.	Constitution of a bio-diversity Committee	Whether the government has prepared constituted a bio-diversity Committee?	Secondary	Positive		