

Guidelines for State Government for Proposing Initiatives under the State Collaboration Initiative



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Government of India

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and Pensions**

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1. Introduction

The State Collaboration Initiative has the objective of catalyzing, promoting and achieving reforms at the cutting edge or point of delivery of Public Administration, Under the State Collaboration Initiative (SCI) the strategy is to build collaboration with State Governments for improving public service delivery.

This Guideline lays down the process for collaboration for State Governments with Department of Administrative Reforms & Public Grievances, Government of India for identifying & rolling out and also replicating the initiative under the SCI.

2. Objective

The **objective of** the State Collaboration **Initiative is to** promote and support improvement in public administration for improving service delivery through a programmatic approach which will:

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

3. Program Design Framework

The definition of capacity for purposes of this program is the ability of individuals, organizations, and the institutions (at the central, state and local level) to provide services to the citizen. The process of strengthening and sustaining such capacity is capacity building. Operationalization of the intent of the program is done by taking up strategic initiatives at the institutional, organizational and individual levels which seek to:

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

4. Tool for designing new initiatives

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

Fig 1: The Intervention Matrix

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

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

5. Guiding Principles for design of any initiative

- i. Should demonstrate how the initiative will contribute to enhancing the capacity of the Public Administration institutions, organisations or personnel to operate in a way that will bring tangible benefits to the citizen
- ii. Initiative should be suitably placed in one of the cells of the intervention matrix as discussed in section 4.

- iii. Proposed initiative could either be
 - a. To support replication of initiative/ best practices especially those that have been awarded PM Award for Excellence in Public Administration and National e-Governance Award.

Or

 - b. Piloting a new idea, concept, structure or system at the state level that would enhance the quality of service delivery to the citizen but requires technical assistance in the form of knowledge inputs not available with the host Organisation/Department/Ministry.
- iv. Interventions should be developed in consultation with internal (DARPG) and external stakeholders; and implemented in collaboration with them.
- v. MoP will be responsible for evaluating the impact of each initiative (which is rolled out) as well as dissemination of lessons learnt.

6. Preparation of the Proposal

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

- i. Information as per Proforma given in Annexure I
- ii. A time bound implementation plan should be prepared for each initiative, with clearly identifiable outcomes and clearly specified inputs.
- iii. Each proposal should specify implementation and reporting arrangements (to DARPG) and provide evidence of the project implementation capacity. The monitoring arrangements would be governed by section 9 of these guidelines. It is highly recommended that the proposal should indicate the monitoring indicators.
- iv. The budget indicated in the proposals for support under the State Collaboration Initiative should be in line with the project requirements with realistic cost estimates and contain the approval of the Financial Advisor or equivalent of the States.

7. Assessment

The proposal received under the scheme will be initially assessed by a Screening Committee headed by JS (ARC) in the Department for completeness of the proposal as per the Guidelines and shall thereafter be submitted to the competent authorities for approval. Presentations by the States, in case needed, shall be organized in the Department. An important parameter while selecting a proposal is that there should not be more than one project from one District / Department / Implementing agency in a financial year.

8. Project Implementation

8.1 Funding Mechanism

After approval of the proposal by Secretary (AR&PG) and concurrence of IFD to the proposal, the funds would be transferred to the implementing agency through central nodal agency in terms of phase wise implementation schedule and progress made thereof. **Also, an upper cap of Rs 2 crore is fixed as grants for funding any projects under the SCI component of the scheme.** The approved amount of the project will be released in four installments of 25% each, following approval of the competent authority. From 2nd instalment onwards, fund will be released on the basis of submission of UC and satisfactory progress as per the approved implementation schedule.

8.2 Procurement

All procurement must conform to GFR 2017.

8.3 Ownership and Copyright

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

9. Project Monitoring

- a. The host department will submit periodic monitoring reports as specified by DARPG from time to time.
- b. The state initiatives would be monitored through the Quarterly Programme Monitoring Meeting held under the Chairmanship of Secretary (AR & PG) or Senior Officers nominated by Secretary (ARPG).

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

1. Details of origin of the Proposal	
a. Name of the state:	
b. Name of the host organization:	
c. Status of the Host organization: Main Ministry/Department/Attached Office/ Statutory Body/Other —please specify	
d. Name of the Contact Person:	
e. Contact Address:	
f. Email id :	
g. Telephone/Fax:	
g. Nodal Contact Person:	
h. Implementing Agency:	
i. Detail of Bank Account of the Nodal Agency to which the funds are to be transferred:	
2. Proposal	
2.a Proposal Summary	The proposal summary to appear at the beginning of the proposal and outline the project. It should be brief: no longer than two or three paragraphs. To include all the key points necessary to communicate the objectives of the project.

<p>2 b Introduction of the Host Organization</p>	<p>This may include:</p> <ol style="list-style-type: none"> i. The organizations' key area of operations and the clientele ii. The service delivery mandate it has iii. The type of Central Programs it handles iv. Any multilateral/ Bilateral projects it is handling at present <p>It would be useful if the logic for the organisation undertaking the particular initiative is provided.</p> <p>This is elucidation of the specific problem that is proposed to be solved or issue to be addressed through an initiative and the expected outcomes.</p>
<p>2. c Problem Statement</p>	<p>The problem statement is a key element of the proposal. It should be a clear, concise, well-supported statement of the problem to be solved by undertaking the proposed initiative through support from the CBPR Programme. The information provided should be both factual and directly related to the problem addressed by the proposal. The problem statement should clearly spell out the connection between the issue pertinent to the problem statement and the proposed host organization.</p>
<p>2.d Project Objective</p>	<ol style="list-style-type: none"> i. The project objectives should clearly spell out what the initiative seeks to achieve ii. The expected results and benefits of each objective should be clearly defined. iii. Should the guiding principles as specified in the guidelines and describe how the proposal meets each criterion (ref. Section 5.i,5.ii,5.iii)

2.e Project Scope, Approach and methodology	To describe in detail, the activities that will take place in order to achieve desired results. Justification be given as to why the set of activities been chosen and why the chosen approach and methodology are appropriate for fulfilling the objectives of the project. Timetable of the major milestones should be included.
2.f Project Implementation Capacities	The critical implementation capacities for rolling out the initiative should be identified along with the evidence of availability of the said capacities within the departments/ministries responsible for implementation. If there are implementation capacities gap at present,the proposal should clearly indicate how the same are proposed to be bridged so as not to hamper the implementation during roll out.
2.g Project Monitoring	To elaborate on how project success to be determined and provide monitoring indicators for reviewing the project progress.
2.h Proposal Budget	Estimated costs (with phasing) under suitable heads should be indicated.