



Annual Conference of Chief Secretaries

4 - 5 February, 2011

Background Papers

**Department of Administrative Reforms & Public Grievances
Ministry of Personnel, Public Grievances and Pensions
Government of India
New Delhi**



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Transparency and Ethics in Governance

Towards an Ethics Infrastructure

Department of Administrative Reforms &
Public Grievances
Government of India

In public administration, *transparency* refers to unfettered access by the public to timely and reliable information on decisions and performance of governmental institutions. *Accountability* refers to the obligation on the part of public servants to report on the usage of public resources and answerability for failing to meet the stated performance objectives. *Integrity* refers to honesty or trustworthiness in the discharge of official duties, serving as an antithesis to corruption or abuse of office.

For the last three decades or so, the values of transparency, accountability and integrity have been the dominant paradigm in public administration. Sound public administration involves public trust. Citizens expect public servants to serve public interest with fairness and to manage public resources properly on a daily basis. Fair and reliable public services and predictable decision-making inspire public trust, translate into improved lives for the poor and vulnerable, and also, create a level playing for the private sector, thus contributing to well-functioning markets and economic growth. Transparency, accountability and integrity of public administration are pre-requisite to, and underpin, public trust as a keystone of good governance.

What do these concepts mean in the abstract and concretely? At the abstract level, these concepts are co-dependent. Integrity, by requiring that public interest be paramount, provides the basis for transparency and accountability. Transparency without accountability becomes meaningless and makes a mockery of sound public administration. Accountability depends on transparency or having the necessary information. And transparency and accountability without integrity may not lead to promoting public interest.

Concretely, these concepts can be translated into what is called an *ethics infrastructure* of mutually reinforcing legislative standards, institutional structures and administrative procedures, which ensures that public servants will put the interest of the public above their own. It means a set of rules, institutions and practices that are in place to guide, manage, and enforce good conduct. It is composed of mutually reinforcing functions and elements to achieve the necessary coherence and synergy to support an environment in order to encourage high standards of behaviour. An ethics infrastructure consisting of transparency, accountability and integrity as a keystone of good governance provides the context for subsequent discussion in this paper.

Transparency

In essence, transparency is about opening up government's records to public scrutiny, and arming citizens with a vital tool to tell them about what the government does and how effectively. Transparency in government organisations makes them function more objectively thereby enhancing predictability of decision-making and ruling out arbitrary decisions. Transparency enables citizens to participate in the governance process effectively. In that sense, transparency becomes the key to strengthening participatory democracy and ushering in people-centred governance. It empowers the poor and vulnerable to get information about public policies and actions and leads to their welfare. The governments in India have, in the

last decade or so, embarked on several initiatives such as e-Governance, the Right to Information Act, and Social Audit, to promote transparency in administration.

e-Governance

The Government of India and several State Governments have taken up various e-Governance initiatives in delivery of public services, which have been successful in promoting transparency. The importance of e-Governance lies in its potential to provide information and services any time anywhere while minimising corruption. However, the potential of e-Governance as a tool to promote transparency can be realised in full only if certain conditions are satisfied. At present, most of these e-Governance projects are rather limited in their outreach; they need to be scaled up and replicated. Penetration is the key; that is why the government departments and local self-governance bodies need to get computerised so that there are services at the back end for the front-end common service centres to deliver. More importantly, e-Governance should be capable of enabling seamless access to services and information; so, the emphasis needs to be on functionality both at the back end and the front end.

Right to Information Act, 2005

The Right to Information Act 2005 sets out a practical regime for citizens to secure access to information on all matters of governance. It is a path breaking legislation empowering people and promoting transparency. It enables citizens to seek information from a public authority, thus making the government and its functionaries more accountable and responsible. The Act also checks corruption by strengthening public vigilance. Use of the Act by citizens in inspections, social audits, citizens' report cards and other watchdog initiatives strengthens public vigilance, which essentially builds a direct relationship between the citizens and the government. The Act thus constructively expands the meaning of 'accountability'.

Proactive disclosure of information by government departments, which greatly helps in the facilitation of a people-friendly information access regime, is a key provision of the Act. This recognises that some information is so useful and important to the community that it should be given out regularly, without anyone specifically asking for it. This ensures that citizens always have access to authentic and relevant information. Proactively disclosed information minimises time, money and effort required by the public to access important but routine information. It helps people to understand better what information they can access and how to seek it. Moreover, it reduces the number of requests that civil servants at the level of the public authorities will be required to process, thereby reducing the administrative burden on the government.

It is a matter of pride that we have given ourselves a tool, which has the potential of promoting transparency, strengthening accountability and reducing corruption. It is also commendable that the basic tenets of the Act have been implemented and the institutional mechanism is in place and is in use by citizens. The institution of Information Commission has assumed a pivotal position. Civil society organisations have been, and continue to be, active in ensuring the implementation of the Act in letter and spirit. Various State Governments have taken up initiatives, which go beyond the stipulations of the Act. The Act has now been in

operation for over five years and has benefited many, including the poor and the underprivileged. Civil society organizations and the media have used the Act liberally for bringing in transparency and objectivity. It has been accepted that the Act has adequate 'teeth' to bring in transparency. At the same time, it is also accepted that the Act has not yet reached the stage of implementation, which was envisioned. There are several reasons for this.

One of the basic responsibilities of the public authorities is to disseminate information on suo moto basis. A recent study (2009) commissioned by the Department of Personnel and Training, Government of India, found that, while various departments and ministries of Government of India had posted the required information, the status of the same in the State Government departments is significantly poor. At places where suo moto information is being provided, the quality of disclosure is low and does not cater to the information needs of the citizens. Moreover, the information disclosed proactively is not updated regularly leading to obsolescence of the information provided. Attention needs to be given to these aspects because proactive disclosure of information is the hallmark of the Act and is one of the major challenges of the right to information.

Ineffective record management systems and tardy collection of information from the field offices have resulted in delay in processing of RTI applications. Record management system plays a vital role in timely disposal of RTI applications. The information provider survey conducted by the 2009 study indicates that 38 per cent the PIOs cited record management system as a reason for delay in processing RTI requests while 79 per cent of the PIOs cited collection of information from the field offices as a cause of delay. These findings point towards a weak record management system being followed where critical field level information is not available at the higher levels of the hierarchy. The status of record keeping is indeed a problem area. In most cases, the current rules pertaining to record management are good only for categorising records based on time period of storage before they are destroyed. In most states, record keeping procedures have not been revised for decades. More significantly, there is no practice of cataloguing, indexing and orderly storage, which is critical for quick turnaround in case of information requests. Even when records are stored, retrieval of intelligible information is a challenge. It is perhaps because of this situation that there is a tendency to give bulk unprocessed information rather than pertinent and relevant information. That being the case, there is an urgent need for reorganisation of the record management system in order to promote information management.

The Act seeks to empower citizens but this is possible only if citizens are aware of their rights under the Act. However, the 2009 study found that only 15 percent of the respondents were aware of the RTI Act. The study also found that awareness level is lower among disadvantaged communities and weaker sections of the society, such as women (12 per cent as compared to 26 per cent among men), rural population (13 per cent as compared to 33 percent among urban population), and OBC/SC/ST category (14 per cent as compared to 27 per cent among general category citizens). The Act gives the responsibility to the appropriate government to develop and organise educational programmes to advance the understanding of the public, especially disadvantaged communities, regarding how to exercise the rights contemplated under the Act. Clearly, the efforts need to be stepped up.

Social Audit

The right to information has opened up and made possible the whole new area of social audits. The process of social audit requires free and open access to information, where the information is placed in the public domain in a focused and verifiable form.

In recent years, several steps have been taken to institutionalise social audit in government programmes and schemes. Two of the biggest projects in recent times- NREGA and NHRM- have built in voluntary disclosures and social audits as mandatory safeguards legitimising direct citizen engagement in ensuring transparency and accountability. The finest example is the NREGA, which mandates the regular conduct of social audit as a critical part of the implementation of the Act. In fact, NREGA views social audit as a means of promoting complete transparency in the process of administration and decision-making, with an obligation on the government to suo moto give people full access to all relevant information.

In respect of the implementation of NREGA, the Mid-Term Appraisal of the Eleventh Five Year Plan says, "Unfortunately social audit has been conspicuous by its absence in most states." However, the Mid-Term Appraisal cites the case of Andhra Pradesh where the social audit initiative has been a huge success. The first social audit in Andhra Pradesh was conducted in July 2006. Since then, an average of 54 social audits are conducted every month across all NREGA districts. The effects of these social audits have been dramatic. As of June 30, 2010, Rs 82 crore worth of misappropriated funds have come to light, of which around Rs 15 crore have been recovered. About 33,800 field level functionaries have been implicated, 3,842 functionaries have been dismissed based on the findings of social audit, and 1,430 suspended. All this has been made possible by 60,000 village social auditors (wage earners trained in social audit) trained by 700-odd district and state resource persons and 22 technical resource persons. A committed top-level civil service has provided the impetus for this outstanding venture. Emerging evidence suggests that, because of this venture, there have been significant and lasting improvements in citizens' awareness levels, their confidence and self-respect, and more importantly, their ability to engage with local officials. All states need to study the Andhra experience and learn to replicate it in an appropriately location-specific manner.

On the whole, these transparency initiatives have succeeded; the only thing that remains is their robust institutionalisation. The dominant feature in most of these initiatives is that they have worked to enhance and integrate citizen voice into the everyday workings and decision-making processes of the state. Interestingly, as a result of these initiatives, voice rather than the vote, has emerged as the principal accountability tool of the citizens. These initiatives have also significantly expanded the realm of accountability: seekers of accountability now range from individual citizens to organised civil groups and the media. Transparency has now become central to social accountability efforts. The main channel through which citizens are being empowered to demand accountability is through the creation of, and access to, more information. So, the recurring theme now is: more information means more empowerment, which in the context of greater participation means more voice, which means greater accountability.

Ethics and Integrity

Transparency and accountability are, no doubt, important but an ethics infrastructure is incomplete without ethics. Ethics are those values, which we use in making decisions. They help us to decide whether our actions are right or wrong. When we think of ethics, we usually think in terms of people making decisions about difficult personal situations. Organisations have ethical standards, too. These standards help ensure that individuals working in the organisation maintain a consistent approach in carrying out their responsibilities and making decisions in difficult situations. They also ensure that members of the organisation maintain a consistent and appropriate level of behaviour towards one another and towards the clients of the organisation.

Why are ethics important for the civil service

Civil servants have special obligations to the community because of three reasons. First, they are responsible for managing resources entrusted to them by the community. Second, they provide and deliver services to the community. Third, they take important decisions that affect all aspects of the community's life. That is why the community has a right to expect that its civil service functions fairly, impartially, and efficiently. It is essential for the community to be able to trust and have confidence in the integrity of the civil service decision-making process. Within the civil service itself, the decisions and actions of civil servants should reflect the policies of the government of the day and the standards that the community expects from them as government servants. The expectation that the civil service will maintain the same standards of professionalism, responsiveness, and impartiality in serving successive political governments is a key element of the way our democratic polity functions.

What is expected of civil servants

Ethics in the civil service is different from those in the other segments in the society because of the particular expectations that the government and the community have of the way civil servants work on their behalf. These expectations are as in the following:

Impartiality

This means that, regardless of a civil servant's personal beliefs and preferences, and personal relationship with other civil servants or with politicians or with other members of the community, he or she must impartially serve the government of the day and treat members of the public and other civil servants fairly and impartially.

Efficiency and Effectiveness

The community pays for the resources that civil servants use. The community expects its civil servants to make the best use of these resources. This means that civil servants must work efficiently and effectively, avoid waste, extravagance and improper use of the community's resources, and maintain high standards of professionalism, probity, and performance.

Procedural Fairness

Procedural fairness denotes that decisions of civil servants must be reasonable, fair, just, and transparent. This means that the reasons for the decisions must be explained. It also means that the decisions must be made without bias or the apprehension of bias, that they must be based on the evidence available, and that anyone who is adversely affected by the decision has the opportunity to provide their views.

Avoidance of Conflict of Interest

To ensure that the community perceives the civil servants as impartial, effective and fair, it is necessary that the personal and financial interests of the civil servants do not come into conflict, or appear not to come into conflict with their official duties and responsibilities.

Accountability

A civil servant is accountable to the minister for the responsibility or authority he or she exercises on the minister's behalf. The civil servant is accountable for upholding the law and adhering to the policies and guidelines of the government. The civil servant is accountable for ensuring that the programmes, schemes, and projects of the government are delivered effectively, impartially, and courteously. Finally, civil servants are accountable for maintaining clear records of the reasons explaining the decisions that they take and implement.

Responsiveness

While civil servants must be impartial and fair in serving the government and delivering services to the public, they must also do their best to familiarise themselves with the policies and aspirations of the government of the day and ensure that it receives frank, professional, timely, and comprehensive advice that is relevant to these policies. Responsiveness also means that service delivery is sensitive to the disadvantaged and weaker sections of the community.

Avoidance of Discrimination and Harassment

Impartiality, fairness, efficiency and effectiveness of the civil service depend on objectivity in personnel decisions. This means that civil servants must avoid discrimination on the basis of gender, caste, race, linguistic or cultural background, and disability in personnel decisions and in their relationship with colleagues. It also means that civil servants must treat all their colleagues and members of the public with courtesy.

Reasonable Care and Skill

Civil servants have a duty to work with reasonable care and skill at work, or while performing duties related to work. Reasonable care and skill include:

- a) observing legal requirements;
- b) being prompt;
- c) taking all reasonable steps to check that information on which decisions or actions are based is factually correct, and that all relevant facts are taken into consideration;
- d) taking fair and equitable decisions; and
- e) appreciating the special needs and requirements of different groups and individuals in the community.

Compliance with lawful and reasonable directions

Civil servants are obliged to comply with any lawful and reasonable direction by a person having the authority to give the direction. If a civil servant has any doubts about the legality or reasonableness of a particular direction, he should discuss his concerns with his superiors.

Key Relationships and Behaviour

Relationship with the Government, Legislature and Political System

The primary responsibility of the civil service is to serve the government. This means that civil servants must provide the same standard of free, frank, impartial and responsive advice, and the same level of professionalism in administration and delivery of services, policies and programmes, irrespective of the political party in power. The civil service should be apolitical, performing its functions in an impartial and professional manner. There is also the broader accountability obligation of the civil service, which means that the civil service should be openly accountable for all its actions, within the framework of ministerial accountability, to the government and to the legislature. We need to recognise that the governmental system in India provides a model of accountability in which public interest is very clearly articulated. It is the government and the ministers who determine the public interest in terms of policy and programme priorities, and civil servants, within the requirement of the constitutional and legal framework, advise on and implement these decisions. That being the case, the civil service has a particular responsibility for the public interest in upholding the law and ensuring that proper procedures are followed. As far as the political system is concerned, the civil service needs to see itself as a career-based, permanent service to enhance the effectiveness and cohesion of India's democratic system of government.

Relationship with the Community

The maintenance of ethical behaviour by civil servants in dealing with the public is particularly important. The civil service needs to serve the community by ensuring that the services and entitlements provided to it under law and government policies are delivered effectively, fairly, courteously, and professionally. Civil servants also need to be responsive to the needs of the public, treating its members with courtesy and with sensitivity to their rights and aspirations. This means that, while a civil servant cannot make exceptions in individual

cases where these are not sanctioned by law, and while the civil servant must ensure equality of access for all citizens, he or she should try to be responsive as he or she administers entitlements or provides services and also, avoid unnecessary rigidity. This also requires that civil servants should be sensitive to the needs and requirements of the disadvantaged and weaker sections of the society.

Observance of Values in the Way Civil Servants Work

The community has the right to expect a high degree of professionalism from civil servants who manage the community's resources on its behalf and who utilise those resources to provide services to the community. It is necessary, therefore, that civil servants should avoid improper use, waste, and extravagance in managing the property of the community. Civil servants need to be scrupulous in the way they use the community's resources including money, goods and services, vehicles, office equipment, telecommunications, and information technology infrastructure. It is necessary that civil servants have the highest ethical standards. They should not use their public office and positions for obtaining benefits for themselves. The reputation of civil servants for integrity, impartiality and professionalism derives from the community's expectations that its civil servants cannot be influenced by bribes. Accepting gifts from a person who could influence a civil servant would place the civil servant in a difficult position. Even the appearance of influence may damage the civil servant's reputation or affect the community's trust in the civil servant's independence and integrity.

Observance of Values in the Workplace

The effective and efficient use of the community's resources is dependent upon a workplace that effectively utilises the talents of civil servants, and which encourages harmonious, and therefore, productive working relationships. This means workplace relations that value communication, consultation, cooperation, and inputs from employees. It also requires a fair, safe, rewarding workplace: one that is free of discrimination. The idea should be to provide civil servants with a rewarding environment in which to work and one in which, their talents and enthusiasm are recognised and not thwarted by workplace prejudices and discrimination.

On the whole, an ethics infrastructure is grounded in the principle that citizens expect civil servants to serve public interest with fairness and to manage public resources properly on a daily basis. The primary concern of citizens is that their government must be fair and good. For a government to be good, it is essential that the systems and sub-systems of governance are efficient, ethical, and equitable. In addition, the process of governance must be just, reasonable, fair, and citizen-friendly. And the administrative system must also be accountable and responsive. In the ultimate analysis, the test of good governance lies in the general perception of the people about the quality of functioning of public servants; their attitude and behaviour towards the people; and their sincerity, honesty and their commitment towards serving the public interest.

The concepts of transparency, accountability and integrity can be combined into an ethics infrastructure, which, if realised, would not only translate into improved lives for the poor and vulnerable but also lead to fair and reliable public services, predictable decision-

making and creation of a level playing field for businesses, thus contributing to well-functioning markets and economic growth. The effects of lack of transparency, accountability and integrity- leading to corruption and misconduct- can be devastating because it will undermine and even destroy public trust in the process of governance. As we know rather too well, publicised corruption and administrative failure cases have had a major negative impact on trust in public decision-making. So, gaining and keeping public trust must be approached holistically, as the threads of transparency, accountability and integrity knit together to uphold all public administration and, ultimately, governance reforms.

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Points for Discussion

Department of Administrative Reforms &
Public Grievances
Government of India

Agenda Item No.1

There is a need to pay attention to several recent interventions suggested for (i) checking erosion of integrity and (ii) enhancing transparent and ethical transaction of public service.

Significant among them, are listed for discussion.

1. Code of Ethics for Civil Servants

The 4th Report of the Second Administrative Reforms Commission (2nd ARC) on 'Ethics in Governance' has recommended that public service values towards which all public servants should aspire, should be defined and made applicable to all the tiers of the Government and parastatal organizations. This recommendation has been accepted by the Government of India (GoI).

The 2nd ARC has also recommended enactment of Civil Services Law for reforming the civil services of the Union Government in its 10th Report on 'Refurbishing Personnel Administration'. Similar recommendation has been made in respect of States in the 15th Report on 'State and District Administration'.

The GoI is in the process of finalizing the Civil Services Standards, Performance and Accountability Bill, 2010. The Bill includes features such as (i) civil service values, (ii) civil service code of ethics and conduct, (iii) appointment in civil services, (iv) performance management system, (v) creation of a civil services authority, and (vi) its application to the All India Services.

2. State Vigilance Commissions

The 2nd ARC has in its report recommended setting up of the organization of Vigilance Commission in the States on the patterns of Central Vigilance Commission [15th Report: Para 2.4.5.2] a recommendation which has, after the acceptance of the GoI, been referred to the State Governments for appropriate action.

The 2nd ARC has recommended a three-member State Vigilance Commission for larger States and a single member body for smaller States.

The 2nd ARC has taken note of the highly specialized and technical nature of the vigilance work and, therefore, recommended that the members in the State Vigilance Commissions should be those who have been experts in their respective fields.

3. State Public Service Commission and other Public Recruiting Agencies

One of the recommendations of the 2nd ARC relates to the role of State Public Service Commissions in acting as 'a watchdog organization' for public recruiting agencies like the Subordinate Service Commission, Teachers' Selection Commission, District Recruitment Boards, etc.

In its 15th Report, therefore, [Para 2.5.9.4 (b)] the 2nd ARC has recommended that with regard to the appointment of junior level functionaries in the State Government, the role of the State Public Service Commission should be (i) to lay down broad norms and standards, and (ii) work as a watchdog organization for their implementation a recommendation which has, after the acceptance of the Gol, been referred to the State Governments for appropriate action.

4. Local Bodies Ombudsman for a Group of Districts

To investigate cases against functionaries of the local bodies, the 2nd ARC in its 4th Report has, for a group of districts, recommended [Para 4.5.6] constitution of a local bodies Ombudsman.

Accordingly, the Gol has accepted the following recommendations:

"a. A local bodies Ombudsman should be constituted for a group of districts to investigate cases against the functionaries of the local bodies. The State Panchayat Raj Acts and the Urban Local Bodies Act should be amended to include this provision.

b. The local bodies Ombudsman should be empowered to investigate cases of corruption or maladministration by the functionaries of the local self governments, and submit reports to the competent authorities for taking action. The competent authorities should normally take action as recommended. In case they do not agree with the recommendations, they should give their reasons in writing and the reasons should be made public."

5. Investigation and Prosecution of Anti-Corruption Cases

Gol has accepted Para 4.6.6 of the following recommendation of the 2nd ARC in its 4th Report and has communicated the same to the States for appropriate action:

"a. The State Vigilance Commissions/Lokayuktas may be empowered to supervise the prosecution of corruption related cases."

Gol has also accepted the recommendations of the 2nd ARC [4th Report: Sub-para (d) of Para 4.6.6] on prescribing a reasonable time-limit for investigation of different types of cases for the investigating agencies.

6. Strengthening Economic Offences Unit of States

Gol has accepted and circulated for appropriate action, the recommendation of the 2nd ARC [4th Report: Sub-para (h) of Para 4.6.6] stressing the need to strengthen Economic Offences Unit of States.

"h. The economic offences unit of states need to be strengthened to effectively investigate cases and there should be better coordination amongst existing agencies."

7. Benami Transactions

In its 4th Report, the 2nd ARC highlighted the issue of benami transactions [Para 3.5.4]. Taking note of the recommendation, GoI is working on a new Benami Transactions (Prohibition) Bill to replace Benami Transactions (Prohibition) Act 1988.

8. Protection of Whistleblowers

There is a recommendation of the 2nd ARC [4th Report: Para 3.6.4], relating to the protection of whistleblowers, stating the following:

“a. Legislation should be enacted immediately to provide protection to whistleblowers on the following lines proposed by the Law Commission:

- Whistleblowers exposing false claims, fraud or corruption should be protected by ensuring confidentiality and anonymity, protection from victimization in career, and other administrative measures to prevent bodily harm and harassment.*
- The legislation should cover corporate whistleblowers unearthing fraud or serious damage to public interest by willful acts of omission or commission.*
- Acts of harassment or victimization of or retaliation against, a whistleblower should be criminal offences with substantial penalty and sentence.”*

Taking note of the recommendation, GoI has drafted the Public Interest Disclosure and Protection of Persons making the Disclosure Bill, 2010. The Bill has been introduced in the Lok Sabha.

9. False Claims Act

With a view to providing for citizens and civil society groups to seek legal relief against fraudulent claims against the Government, the 2nd ARC has in its 4th Report [Para 5.2.5] recommended enactment of a False Claims Act in India, incorporating the following:

- “i. Any citizen should be able to bring a suit against any person or agency for a false claim against the government.*
- ii. If the false claim is established in a court of law, then the person/ agency responsible shall be liable for penalty equal to five times the loss sustained by the exchequer or society.*
- iii. The loss sustained could be monetary or non-monetary as in the form of pollution or other social costs. In case of non-monetary loss, the court would have the authority to compute the loss in monetary terms.*
- iv. The person who brought the suit shall be suitably compensated out of the damages recovered.”*

Gol has accepted the recommendation and, accordingly, a legislation is being drafted titled 'Mendacious Claims and Assertions Act'.

10. Integrity Pacts

Para 6.6.4 of the 4th Report of the 2nd ARC, relating to Integrity Pacts, recommended setting up of a Task Force to (i) identify the type of transactions requiring such pacts, and (ii) provide for a protocol for entering into such pacts. The 2nd ARC had also recommended that the Task Force should examine whether any amendment is required in the existing legal framework to make such agreement enforceable.

The Task Force constituted by the Gol, as per the recommendations of the 2nd ARC, has recently submitted its Report to the Gol.

11. Social Audit

Highlighting the significance of social audit mechanism in governance, the 2nd ARC said the following:

“Social audit through client or beneficiary groups or civil society groups is yet another way of eliciting information on and prevention of wrong doing in procurement of products and services for government, in the distribution of welfare payments, in the checking of attendance of teachers and students in schools and hostels, staff in the hospitals and a host of other similar citizen service-oriented activities of government. This will be a useful supplement to surprise inspections on the part of the departmental supervisors. The Commission, without entering into details of all these, would like to suggest that provisions for social audit should be made a part of the operational guidelines of all schemes.”

In response to the accepted recommendation of the 2nd ARC [4th Report: Para 5.4.2] to provide for social audit mechanism in the operational guidelines of all development schemes and citizen-centric programmes, Planning Commission has written letters to all concerned in this regard.

12. Security of Tenure

On the issue of security of tenure, an initiative has been taken by the Government of Maharashtra.

Text of the 'Maharashtra Government Servants Regulation of Transfers and Prevention of Delay in Discharge of Official Duties Act, 2005' is at Annexure-I.

13. Integrated Financial Advisors in the State Departments

The 2nd ARC evaluated the scheme of posting senior officers as Integrated Financial Advisors (IFA) in the Ministries/Departments of the Gol and recommended [15th Report: Para

6.5.1.3] that States should take steps to introduce/strengthen the IFA system in the State administration a recommendation which has, after the acceptance of the GoI, been referred to the State Governments for appropriate action.

14. Internal Audit Committees in State Departments

In its 15th Report [Para 6.5.6.2], relating to State Administration, the 2nd ARC recommended setting up of Internal Audit Committees in each State Department which GoI has accepted and referred the recommendation to the State Governments for appropriate action.

15. Transparency in Public-Private Partnership in e-Governance Projects

GoI has approved Para 6.10.6 of the 11th Report of the 2nd ARC ['e-Governance: The SMART Way Forward'], which recommends the following:

"a. Several components of e-Governance projects lend themselves to the Public-Private Partnership (PPP) mode. In all such cases (PPP) should be the preferred mode.

b. The private partner should be selected through a transparent process. The roles and responsibilities of government as well as the private partner should be clearly laid down in the initial stage itself, leaving no room for any ambiguity."

GoI has referred the recommendation to the State Governments for appropriate action.

16. Service Standards for Delivery of Public Service

The 2nd ARC in its 12th Report on Citizen-Centric Administration has recommended the Seven Step Model for Citizen Centricity for all organizations of the Union Government and the State Governments having public interface. They have endorsed the 'Sevottam' model designed by the Department of Administrative Reforms and Public Grievances. Sevottam consists of three modules, (i) Citizens' Charter, (ii) Public Grievance Redressal System, and (iii) defining and developing Public Service Standards and Capacity.

Among various initiatives for involvement of public service delivery systems, an initiative taken by the Government of Madhya Pradesh deserves to be noted.

Text of Madhya Pradesh Public Service Guarantee Act, 2010 is at Annexure-II.

17. Citizens' Charters

The 2nd ARC in its 12th Report ['Citizen-Centric Administration: The Heart of Governance'] has made detailed recommendations about making Citizens' Charters effective.

What has also been highlighted is "evolving an effective public grievance redressal system".

Gol has accepted the recommendations and communicated to the States details of (i) Centralized Public Grievance Redressal and Monitoring System, (ii) Seven Step Model on Citizen Centricity.

In the States of Haryana, Orissa, and Rajasthan, public grievance redress system in the same model as CPGRAM System has been implemented with technical support of National Informatics Centre.

18. Administrative Procedures Act

Among a large number of countries that have provided legal framework for administrative procedures, Finland has the best law.

A copy of Finland's Administrative Procedure Act, 2003 is at Annexure-III.

Such Acts lay down enforceable standards of good administration and ensure access to justice in administration. We do not have such a law in India. As a roadmap for further excellence, the matter needs to be pondered over.

19. Internal Audit Committees in State Departments

In its 15th Report [Para 6.5.6.2] relating to State Administration, the 2nd ARC recommended setting up of Internal Audit Committees in each State Department which Gol has accepted and referred the recommendation to the State Governments for appropriate action.

20. Ethics Officer

Since two decades, Ethics Officers are an increasingly common sight in corporate world, international development organizations, and at colleges and universities.

An Ethics Officer is a top level officer, who (i) aligns the practices of a workplace with the stated ethics and beliefs, and (ii) holds people accountable to ethical standards. Providing evidence-based independent ethics advice and promoting ethical awareness through outreach and training are other functions performed by the Ethics Officer.

Ethics Officer of the International Monetary Fund, for example, (i) maintains an Integrity Hotline (available worldwide 24/7 via a toll-free number or the internet) monitored by an Oversight Committee (which meets quarterly and provides bi-annual reports to management and an annual report to the external Audit Committee), and (ii) suggests expansion/revision in the Code of Conduct and related procedural matters.

The concept of Ethics Officer in governance is a recent successful innovation, which merits discussion. A related innovation in Gol is the institution of Transparency Officer [Annexure-IV].

असा. क्र. ५०

रजिस्टर्ड नं. एमएच/एमआर/साऊथ २२९/२००६-०८



महाराष्ट्र शासन राजपत्र

असाधारण

प्राधिकृत प्रकाशन

शुक्रवार, मे १२, २००६/वैशाख २२, शके १९२८

स्वतंत्र संकलन म्हणून फाईल करण्यासाठी या भागाला वेगळे पृष्ठ क्रमांक दिले आहेत.

भाग आठ

महाराष्ट्र विधानमंडळाचे अधिनियम व राज्यपालांनी प्रख्यापित केलेले अध्यादेश व केलेले विनियम आणि विधी व न्याय विभागाकडून आलेली विधेयके (इंग्रजी अनुवाद)

In pursuance of clause (3) of article 348 of the Constitution of India, the following translation in English of the Maharashtra Government Servants Regulation of Transfers and Prevention of Delay in Discharge of Official Duties Act, 2005 (Mah. Act No. XXI of 2006), is hereby published under the authority of the Governor.

By order and in the name of the Governor of Maharashtra,

A. M. SHINDEKAR,
Secretary to Government,
Law and Judiciary Department.

MAHARASHTRA ACT No. XXI OF 2006.

(First published, after having received the assent of the Governor in the "Maharashtra Government Gazette", on the 12th May 2006).

An Act to provide for regulation of transfers of Government Servants and prevention of delay in discharge of official duties.

WHEREAS, both Houses of the State Legislature were not in session ;

AND WHEREAS, the Governor of Maharashtra was satisfied that circumstances existed which rendered it necessary for him to take immediate action for the purposes hereinafter appearing ; and, therefore, promulgated the Maharashtra Government Servants Regulation of Transfers and Prevention of Delay in Discharge of Official Duties Ordinance, 2003, on the 25th August 2003 ;

Mah.
Ord.
IX of
2003.

AND WHEREAS it is expedient to replace the said Ordinance by an Act of the State Legislature with certain amendments ; it is hereby enacted in the Fifty-sixth Year of the Republic of India as follows :—

CHAPTER I

PRELIMINARY

Short title,
commence-
ment and
application.

1. (1) This Act may be called the Maharashtra Government Servants Regulation of Transfers and Prevention of Delay in Discharge of Official Duties Act, 2005.

(2) It shall come into force on such date as the State Government may, by notification in the *Official Gazette*, appoint.

(3) It shall apply to all Government servants in the State services including the All India Service Officers of the Maharashtra Cadre :

Provided that, Chapter II shall not apply to the employees appointed on non-transferable posts in isolated cadres and to the employees under the administrative control of the Judiciary ; and Chapter III shall not apply to the All India Service Officers of the Maharashtra Cadre.

Definition.

2. In this Act, unless the context otherwise requires,—

(a) “Citizens Charter” means a list of facilities or services rendered by the office or Department, together with the time limit for providing such facility or services to the general public ;

(b) “Competent authority” means the appointing authority of the Government servant and shall include the transferring authority specified in section 6 ;

(c) “Department” or “Administrative Department” means the Department of the Government of Maharashtra as specified in the First Schedule to the Maharashtra Government Rules of Business ;

(d) “Government” or “State Government” means the Government of Maharashtra ;

(e) “Group A, B, C and D posts” means the posts under the Government classified as Group A, B, C and D posts by Government order, from time to time ;

(f) “Government servant” means a Government servant or employee as defined in rule 2 (b) of the Maharashtra Civil Services (Conduct) Rules, 1979, and shall include the All India Service Officers and employees (other than the judicial officers) under the administrative control of the Judiciary ;

(g) “post” means the job or seat of duty to which a Government servant is assigned or posted ;

(h) “secretariat services” means the State services belonging to the Mantralaya Departments ;

(i) "Transfer" means posting of a Government servant from one post, office or Department to another post, office or Department ;

(j) "Transferring authority" means the authorities mentioned in section 6.

CHAPTER II

TENURES OF POSTING AND TRANSFER AND TRANSFERRING AUTHORITY

3. (1) For All India Service Officers and all Groups A, B and C State Government Servants or employees, the normal tenure in a post shall be three years : Tenure of posting.

Provided that, when such employee is from the non-secretariat services, in Group C, such employee shall be transferred from the post held, on his completion of two full tenures at that office or department, to another office or Department :

Provided further that, when such employee belongs to secretariat services, such employee shall not be continued in the same post for more than three years and shall not be continued in the same Department for more than two consecutive tenures.

(2) Employees in Group D shall normally not be subjected to fixed tenure. They shall not be transferred out from the station where they are serving except on request when a clear vacancy exists at the station where posting is sought, or on mutual transfer, or when a substantiated complaint of serious nature is received against them.

4. (1) No Government servant shall ordinarily be transferred unless he has completed his tenure of posting as provided in section 3. Tenure of transfer.

(2) The competent authority shall prepare every year in the month of January, a list of Government servants due for transfer, in the month of April and May in the year.

(3) Transfer list prepared by the respective competent authority under sub-section (2) for Group A Officers specified in entries (a) and (b) of the table under section 6 shall be finalised by the Chief Minister or the concerned Minister, as the case may be, in consultation with the Chief Secretary or concerned Secretary of the Department, as the case may be :

Provided that, any dispute in the matter of such transfers shall be decided by the Chief Minister in consultation with the Chief Secretary.

(4) The transfers of Government servants shall ordinarily be made only once in a year in the month of April or May :

Provided that, transfer may be made any time in the year in the circumstances as specified below, namely :—

(i) to the newly created post or to the posts which become vacant due to retirement, promotion, resignation, reversion, reinstatement, consequential vacancy on account of transfer or on return from leave ;

(ii) where the competent authority is satisfied that the transfer is essential due to exceptional circumstances or special reasons, after recording the same in writing and with the prior approval of the next higher authority.

(5) Notwithstanding anything contained in section 3 or this section, the competent authority may, in special cases, after recording reasons in writing and with the prior permission of the immediately preceding Competent Transferring Authority mentioned in the table of section 6, transfer a Government servant before completion of his tenure of post.

Extension of tenure. 5. (1) The tenure of posting of a Government servant or employee laid down in section 3 may be extended in exceptional cases as specified below, namely :—

(a) the employee due for transfer after completion of tenure at a station of posting or post has less than one year for retirement ;

(b) the employee possesses special technical qualifications or experience for the particular job and a suitable replacement is not immediately available ; and

(c) the employee is working on a project that is in the last stage of completion, and his withdrawal will seriously jeopardise its timely completion.

(2) Notwithstanding anything contained in section 3 or any other provisions of this Act, to ensure that the Government work is not adversely affected on account of large scale transfers of Government servants from one single Department or office, not more than thirty per cent. of the employees shall be transferred from any office or Department at a time, in a year.

Transferring Authority. 6. The Government servants specified in column (1) of the table hereunder may be transferred by the Transferring Authority specified against such Government servants in column (2) of the table.

TABLE

Groups of Government servants (1)	Competent Transferring Authority (2)
(a) Officers of All India Services, all Officers of State Services in Group "A" having pay-scale of Rs. 10,650-15,850 and above.	Chief Minister
(b) All Officers of State Services in Group "A" having pay-scales less than Rs. 10,650-15,850 and all Officers in Group "B".	Minister-in-charge in consultation with Secretaries of the concerned Departments.
(c) All employees in Group "C".	Heads of Departments.
(d) All employees in Group "D".	Regional Heads of Departments :

Provided that, in respect of officers in entry (b) in the table working at the Divisional or District level, the Divisional Head shall be competent to transfer such officers within the Division ; and the District Head shall be competent to transfer such officers within the District :

Provided further that, the Competent Transferring Authority specified in the table may, by general or special order, delegate its powers under this section to any of its subordinate authority.

7. Every Administrative Department of Mantralaya shall for the purposes of this Act prepare and publish a list of the Heads of Departments and Regional Heads of Departments within their jurisdiction and notify the authorities competent to make transfers within their jurisdiction for the purposes of this Act.

Publication
of list of
competent
authority.

CHAPTER III

PREVENTION OF DELAY IN DISCHARGE OF OFFICIAL DUTIES

8. (1) Every office or Department shall prepare and publish Citizens Charter within a period of six months from the date of commencement of this Act.

Citizens
Charter.

(2) If no final decision is taken within the period specified in the Citizens Charter by the concerned authorities, the responsibility for inaction shall be fixed on them and an action mentioned in the relevant Act, rules or regulations shall be taken against them.

Delegation
of Powers.

9. (1) The Head of every office or Department shall publish the list of powers delegated to the subordinate officers, working under them, for taking final decision.

(2) The Head of every office or Department shall determine as far as possible three levels of submission for taking final decision on all matters pertaining to that office or Department.

(3) Lists of powers delegated to the subordinate officers and the levels of submission shall be prepared and published within one year from the date of commencement of this Act and shall be updated on the 1st April of every succeeding year.

Disciplinary
action.

10. (1) Every Government servant shall be bound to discharge his official duties and the official work assigned or pertaining to him most diligently and as expeditiously as feasible :

Provided that, normally no file shall remain pending with any Government servant in the Department or office for more than seven working days :

Provided further that, immediate and urgent files shall be disposed of as per the urgency of the matter, as expeditiously as possible, and preferably the immediate file in one day or next day morning and the urgent file in four days :

Provided also that, in respect of the files not required to be referred to any other Department, the concerned Department shall take the decision and necessary action in the matter within forty-five days and in respect of files required to be referred to any other Department, decision and necessary action shall be taken within three months.

(2) Any wilful or intentional delay or negligence in the discharge of official duties or in carrying out the official work assigned or pertaining to such Government servant shall amount to dereliction of official duties and shall make such Government servant liable for appropriate disciplinary action under the Maharashtra Civil Services (Discipline and Appeal) Rules, 1979 or any other relevant disciplinary rules applicable to such employee.

(3) The concerned competent authority on noticing or being brought to its notice any such dereliction of duties on the part of any Government servant, after satisfying itself about such dereliction on the part of such Government servant shall, take appropriate disciplinary action against such defaulting Government servant under the relevant disciplinary rules including taking entry relating to such dereliction of duty in the Annual Confidential Report of such Government servant.

11. Nothing in section 10 shall apply to,—

- (i) sub-judice matters ;
- (ii) cases referred to Lokayukta or Upa-Lokayuktas and other Constitutional institutions, Commissions, etc. ;
- (iii) quasi-judicial matters ;
- (iv) cases related to Central or other State Governments ;
- (v) cases related to Legislation ;
- (vi) cases involving major policy decisions.

Non-application of provisions of section 10 in certain circumstances.

12. Within 12 months from the date of coming into effect of the Act, the Government will set up a mechanism for carrying out an administrative audit to see that the provisions under the Act are observed.

Administrative Audit.

CHAPTER IV

MISCELLANEOUS

13. No suit, prosecution or other legal proceedings shall lie against any Government servant or officer for anything done or purported to have been done in good faith in pursuance of the provisions of this Act or the rules made thereunder.

Protection of action taken in good faith.

14. (1) The State Government may, by notification in the *Official Gazette*, and subject to the condition of previous publication, make rules to carry out the purposes of this Act.

Power to make rules.

(2) Every rule made under this Act shall be laid, as soon as may be, after it is made, before each House of the State Legislature, while it is in session for a total period of thirty days, which may be comprised in one session or in two or more successive sessions, and if, before the expiry of the session in which it is so laid or the session or sessions immediately following, both Houses agree in making any modification in the rule or both Houses agree that the rule should not be made, and notify their decision to that effect in the *Official Gazette*, the rule shall, from the date of publication of such decision in the *Official Gazette*, have effect only in such modified form or be of no effect, as the case may be ; so, however, that any such modification or annulment shall be without prejudice to the validity of anything previously done or omitted to be done under that rule.

Power to
remove
difficulties. 15. (1) If any difficulty arises in giving effect to the provisions of this Act, the Government may, as occasion arises, by an order published in the *Official Gazette*, do anything, not inconsistent with the provisions of this Act :

Provided that, no such order shall be made after the expiry of a period of two years from the date of commencement of this Act.

(2) Every order made under this section shall be laid, as soon as may be, after it is made, before each House of the State Legislature.

Repeal of
Mah. Ord.
IX of 2003
and saving. 16. (1) The Maharashtra Government Servants Regulation of Transfers and Prevention of Delay in Discharge of Official Duties Ordinance, 2003 is hereby repealed. Mah.
Ord.
IX of
2003

(2) Notwithstanding such repeal, anything done or any action taken (including any notification or order issued) under the said Ordinance, shall be deemed to have been done, taken or issued, as the case may be, under this Act.

MADHYA PRADESH ACT
No.24 of 2010.
THE MADHYA PRADESH LOK SEWAON KE PRADAN KI GUARANTEE
ADHINIYAM, 2010

[Received the assent of the Governor on the 17th August, 2010; assent first published in the "Madhya Pradesh Gazette (Extraordinary)", dated the 18th August, 2010]

An Act to provide for the delivery of services to the people of the State within the stipulated time limit and for matters connected therewith and incidental thereto.

Be it enacted by the Madhya Pradesh Legislature in the Sixty-first year of the Republic of India as follows :—

Short title, extent and commencement.

1. (1) This Act may be called the Madhya Pradesh Lok Sewaon Ke Pradan Ki Guarantee Vidheyak, 2010.

(2) It shall extend to the whole of Madhya Pradesh.

(3) It shall come into force on such date as the State Government may, by notification in the official Gazette, appoint.

Definitions.

2. In this Act, unless the context otherwise requires :—

(a) "designated officer" means an officer notified as such for providing the service under Section 3;

(b) "eligible person" mean person who is eligible for notified services;

(c) "first appeal officer" means an officer who is notified as such under Section 3;

(d) "prescribed" means prescribed by the rules made under this Act;

(e) "right to service" means right to obtain the service within the stipulated time limit under Section 4;

(f) "service" means any service notified under Section 3;

(g) "second appellate authority" means an officer who is notified as such under Section 3;

(h) "State Government" means the Government of Madhya Pradesh;

(i) "stipulated time limit" means maximum time to provide the service by the designated officer or to decide the appeal by the first appeal officer as notified under Section 3.

Notification of services, designated officers, first appeal officers, second appellate authority and stipulated time limits.

3. The State Government may, from time to time, notify the services, designated officers, first appeal officers, second appellate authority and stipulated time limits to which this Act shall apply.

Right to obtain service within stipulated time limit.

4. The designated officer shall provide the service notified under Section 3 to the person eligible to obtain the service, within the stipulated time limit.

Providing service in stipulated time limit.

5. (1) Stipulated time limit shall start from the date when required application for notified service is submitted to the designated officer or to a person subordinate to him authorized to receive the application. Such application shall be duly acknowledged.

(2) The designated officer on receipt of an application under sub-section (1) shall within the stipulated time limit either provide service or reject the application and in case of rejection of application, shall record the reasons in writing and intimate to the applicant.

6. (1) Any person, whose application is rejected under sub-section (2) of section 5 or who is not provided the service within the stipulated time limit, may file an appeal to the first appeal officer within thirty days from the date of rejection of application or the expiry of the stipulated time limit: **Appeal.**

Provided that the first appeal officer may admit the appeal after the expiry of the period of thirty days if he is satisfied that the appellant was prevented by sufficient cause from filing the appeal in time.

(2) The first appeal officer may order to the designated officer to provide the service within the specified period or may reject the appeal.

(3) A second appeal against decision of first appeal officer shall lie to the second appellate authority within 60 days from the date on which the decision was made :

Provided that the second appellate authority may admit the appeal after the expiry of the period of 60 days if he is satisfied that the appellant was prevented by sufficient cause from filing the appeal in time.

(4)(a) The second appellate authority may order to the designated officer to provide the service within such period as he may specify or may reject the appeal.

(b) Along with the order to provide service, the second appellate authority, may impose penalty according to the provisions of section 7.

(5)(a) If the designated officer does not comply sub-section (1) of section 5, then the applicant aggrieved from such non-compliance may submit an application directly to the first appeal officer. This application shall be disposed of in the manner of first appeal.

(b) If the designated officer does not comply the order of providing the service under sub-section (2) of section 6, then the applicant aggrieved from such non-compliance may submit an application directly to the second appellate authority. This application shall be disposed of in the manner of second appeal.

(6) The first appeal officer and second appellate authority shall while deciding an appeal under this section, have the same powers as are vested in civil court while trying a suit under the Code of Civil Procedure, 1908 (5 of 1908) in respect of the following matters, namely :

- (a) requiring the production and inspection of documents;
- (b) issuing summons for hearing to the designated officer and appellant; and
- (c) any other matter which may be prescribed.

7. (1)(a) Where the second appellate authority is of the opinion that the designated officer has failed to provide service without sufficient and reasonable cause, then he may impose a lump sum penalty which shall not be less than 500 rupees and not more than 5000 rupees. **Penalty.**

(b) Where the second appellate authority is of the opinion that the designated officer has caused delay in providing the service, then he may impose a penalty at the rate of 250 rupees per day for such delay on the designated officer, which shall not be more than 5000 rupees:

Provided that the designated officer shall be given a reasonable opportunity of being heard before any penalty is imposed on him.

(2) Where the second appellate authority is of the opinion that the first appeal officer has failed to decide the appeal within the stipulated time limit without any sufficient and reasonable cause, then he may impose a penalty on first appeal officer which shall not be less than 500 rupees and more than 5000 rupees:

Provided that the first appeal officer shall be given a reasonable opportunity of being heard before any penalty is imposed on him.

(3) The second appellate authority may order to give such amount as compensation to the appellant from the penalty imposed under sub-section (1) or (2) or both, as the case may be, which shall not exceed to the imposed penalty.

(4) The second appellate authority, if it is satisfied that the designated officer or the first appeal officer has failed to discharge the duties assigned to him under this Act, without sufficient and reasonable cause, may recommend disciplinary action against him under the service rules applicable to him.

Revision.

8. The designated officer or first appeal officer aggrieved by any order of second appellate authority in respect of imposing penalty under this Act, may make an application for revision to the officer nominated by the State Government within the period of 60 days from the date of that order, who shall dispose of the application according to the prescribed procedure:

Provided that the officer nominated by the State Government may entertain the application after the expiry of the said period of 60 days, if it is satisfied that the application could not be submitted in time for the sufficient cause .

Protection of action taken in good faith.

9. No suit, prosecution or other legal proceeding shall lie against any person for anything which is in good faith done or intended to be done under this Act or any rule made thereunder.

Powers to make rules.

10.(1) The State Government may, by notification in the official Gazette, make rules to carry out the provisions of this Act.

(2) Every rule made under this Act by the State Government shall be laid before the State Legislature.

Power to remove difficulties.

11. If any difficulty arises in giving effect to the provisions of this Act, the State Government may by order, not inconsistent with the provisions of this Act, remove the difficulty:

Provided that no such order shall be made after the expiry of a period of two years from the commencement of this Act.

Identified Services

No.	Identified Services
1	Providing Electricity Connections
2	Providing benefit under Marriage Assistance and Maternity Assistance Scheme
3	Repair of Hand Pumps
4	Providing financial assistance under Revenue Book Circular
5	Providing copies of land records
6	Providing new water connections
7	Issuing Domicile Certificates
8	Providing Social Security Pensions
9	Issue of BPL / APL Ration Cards

NB: Unofficial translation

© Ministry of Justice, Finland

Administrative Procedure Act (434/2003)

PART I — GENERAL PROVISIONS

Chapter 1 — Objective and scope of application of the Act

Section 1 — *Objective of the Act*

It is the objective of this Act to achieve and promote good administration and access to justice in administrative matters. It is further the objective of this Act to promote the quality and productivity of administrative services.

Section 2 — *Scope of application*

- (1) This Act contains provisions on the fundamental principles of good administration and on the procedure applicable in administrative matters.
- (2) This Act is applicable by state authorities, municipal authorities and independent institutions under public law, as well as in the agencies under the Parliament and the Office of the President of the Republic (authority).
- (3) This Act is applicable by state enterprises, associations under public law and private parties when these are performing public administrative tasks.

Section 3 — *Application to administrative contracts*

- (1) For the purposes of this Act, an administrative contract is defined as a contract, within the competence of an authority, on the performance of a public administrative task, or a contract relating to the exercise of public authority.
- (2) When entering into an administrative contract, the fundamental principles of good administration shall be adhered to; in addition, the rights of the persons concerned shall be adequately protected in the drafting of the contract, as shall their chances to affect the contents of the contract.

Section 4 — *Restrictions on application*

- (1) This Act does not apply to the administration of justice, pre-trial investigations, police inquiries or enforcement. This Act does also not apply to military orders nor to other internal orders of the administration relating to the performance of a task or some other measure.
- (2) The provisions of this Act do not apply to oversight of legality, as carried out by the highest overseers of legality in the country, unless specifically otherwise provided.
- (3) In the consideration of administrative complaints by authorities other than those referred to in subsection (2), the fundamental principles of

good administration shall be adhered to; in addition, the rights of the persons directly concerned shall be protected. The decision and the delivery of the decision in a complaint matter shall be subject to the provisions of this Act.

Section 5 — *Relationship to other legislation*

- (1) If another Act contains provisions that are contrary to those of this Act, the provisions of the other Act shall prevail over those of this Act.
- (2) Electronic filing and consideration of an administrative matter and electronic delivery of the decision in the matter shall be subject to the provisions of the Act on Electronic Services and Communication in the Public Sector (13/2003).
- (3) The procedure in administrative matters in the Evangelical Lutheran Church of Finland shall be subject to the provisions of the Church Act (1054/1993).

Chapter 2 — Fundamental principles of good administration

Section 6 — *Legal principles of administration*

An authority shall treat the customers of the administration on an equal basis and exercise its competence only for purposes that are acceptable under the law. The acts of the authority shall be impartial and proportionate to their objective. They shall protect legitimate expectations as based on the legal system.

Section 7 — *Service principle and appropriateness of service*

Service and the consideration of matters by an authority should be arranged so that the customer of the administration receives appropriate service and that the authority can perform its tasks productively.

Section 8 — *Advice*

- (1) An authority shall provide to its customers the necessary advice, within its competence, for taking care of administrative matters; as well as respond to the questions and queries on its service. Advice shall be provided free of charge.
- (2) If the matter does not fall within the competence of an authority, it should direct the customer to the competent authority.

Section 9 — *Requirement of proper language*

- (1) An authority shall use appropriate, clear and comprehensible language.
- (2) The right of a customer to use and receive service by an authority in his/her own language is subject to separate provisions and to the terms of international agreements binding on Finland.

Section 10 — *Inter-authority co-operation*

- (1) An authority shall provide the requested assistance, within its competence and as required by the nature of the matter, to another authority for taking care of an administrative matter; it should also otherwise promote inter-authority co-operation.
- (2) Executive assistance between authorities is subject to separate provisions.

Chapter 3 — Standing and exercise of the right to be heard

Section 11 — *Party*

A person has standing as a party to an administrative matter where his/her rights, interests or obligations are affected by the matter.

Section 12 — *Attorney and counsel*

- (1) A party may retain an attorney or a counsel for an administrative matter. However, the client shall appear in person if this is necessary for the clarification of the matter. An attorney shall produce a power of attorney or supply other credible proof or his/her authorisation to appear on behalf of the client. If there is doubt as to the authorisation or the limits thereof, the power of attorney shall at the demand of the authority be specific to the matter at hand. An advocate and a legal aid attorney need produce a power of attorney only if the authority so orders.
- (2) If an attorney or a counsel is unsuitable for his/her task, an authority may prohibit him/her to appear in the matter before that authority. The prohibition shall be notified to the client and he/she shall be reserved an opportunity to retain a new attorney or counsel.
- (3) A prohibition to appear before an authority may be appealed to the authority which is competent to hear an appeal against a decision in the matter at hand. In other respects, the appeal is subject to the provisions of the Administrative Judicial Procedure Act (586/1996). An appeal against a prohibition to appear does not preclude the further consideration of the matter at hand, unless the appellate authority otherwise orders.

Section 13 — *Privilege*

- (1) An attorney or a counsel shall not without permission disclose any confidential information given to him/her by the client for purposes of taking care of the matter.
- (2) The privilege and prohibition of use pertaining to information received by an attorney for purposes of performing his/her task shall be subject to the provisions of the Act on the Openness of Government Activities (621/1999) even if the information has been received from an authority other than that considering the matter.
- (3) The provisions in subsections (1) and (2) apply also to interpreters and translators participating in the consideration of the matter. They apply further to persons who on commission or otherwise participate in taking care of the matter of the client.

Section 14 — *Right of a legally incompetent person to be heard*

- (1) The right of a legally incompetent person to be heard shall be exercised by his/her guardian, custodian or other legal representative. However, a legally incompetent person shall self alone exercise his/her right to be heard in a matter pertaining to income or assets in his/her possession.
- (2) A legally incompetent person who has attained the age of eighteen years shall self alone exercise his/her right to be heard in a matter pertaining to his/her person, if he/she is capable of understanding the significance of the matter.
- (3) A minor who has attained the age of fifteen years and his/her custodian or other legal representative have a parallel and separate right to be heard in a matter pertaining to the person of the minor or his/her personal rights or interests.

Section 15 — *Right of a guardian to be heard*

- (1) A guardian appointed for a legally competent person shall have a parallel and separate right to be heard, in addition to the client, in matters falling within the scope of his/her duties. If the guardian and the client disagree when being heard, the opinion of the client shall prevail if he/she is capable of understanding the significance of the matter.
- (2) If a client's capacity has been restricted otherwise than by declaring him/her legally incompetent, the guardian shall alone exercise the right of the client to be heard in matters beyond the capacity of the client. However, the guardian and the client shall exercise the right to be heard jointly in matters which are to be decided by them together.

PART II — FILING OF AN ADMINISTRATIVE MATTER AND ITS
CONSIDERATION BY AN AUTHORITY

Chapter 4 — Delivery of documents to an authority and pending effect of
an administrative matter

Section 16 — *Contents of a document*

A document to be delivered to an authority shall indicate what the matter is about. It shall contain the name of the sender and the contact information needed for taking care of the matter.

Section 17 — *Responsibility of the sender of the document*

- (1) A document is to be delivered to the service address of the competent authority on the responsibility of the sender. If a deadline has been set for the delivery of the document, the sender shall be responsible for meeting that deadline.
- (2) The sender of a document shall upon request be issued with an acknowledgement of the registration or other filing of the document.

Section 18 — *Date of arrival of a document*

- (1) A document shall be deemed to have arrived to an authority on the day when it has been delivered to the authority.
- (2) A document sent by post shall be deemed to have arrived also when it has arrived at the post office box of the authority or when the authority has been given a notification of the arrival of the delivery to the postal company.

Section 19 — *Filing of a matter*

A matter shall be filed in writing, by way of stating the demands and the grounds for them. Upon the permission of the authority, a matter may be filed also orally.

Section 20 — *Pending effect of a matter*

An administrative matter shall become pending when the pertinent document has arrived to the competent authority or, in case of an oral filing, when the matter has been stated to it and the information needed for opening the consideration has been registered.

Section 21 — *Transfer of a document*

- (1) An authority to whom a document has been delivered by mistake for purposes of consideration of a matter beyond its competence shall

without delay transfer the document to the authority it deems to be competent. The sender of the document shall be informed about the transfer.

- (2) When a document is transferred, no decision as to its admissibility need be made.
- (3) When a document, which is to be delivered to an authority within a specific period of time, is transferred, the prescribed period of time shall be considered observed, if the document is delivered to the competent authority within that period.

Section 22 — *Supplementing a document*

- (1) If a document delivered to an authority is defective, the authority shall exhort the sender to supplement the document before a deadline, unless this is unnecessary in view of the decision in the matter. The sender of the document shall be informed as to how the document should be supplemented.
- (2) A document delivered to an authority need not be supplemented with a signature, if it contains information on the sender and if there is no reason to doubt the origin and integrity of the document.
- (3) A party may supplement an application or another document delivered for the consideration of a matter also on his/her own motion, as well as supply the authority with documents needed for the decision in the matter while its consideration is under way.

Chapter 5 — General requirements on the consideration of a matter

Section 23 — *Duration*

- (1) A matter shall be considered without undue delay.
- (2) Upon request, the authority shall supply the party with an estimated time of issue of a decision and respond to queries as to the progress of the consideration of the matter.

Section 24 — *Openness of consideration*

- (1) A matter shall be considered openly, if it has been so provided or decided by virtue of a specific provision.
- (2) Access to the documents and the parties' right to receive information shall be governed by the provisions in the Act on the Openness of Government Activities.

Section 25 — *Joint consideration of matters*

If the decision in a matter may have a significant effect on the decision of another matter pending before the same authority at the same time, the matters shall be prepared together and decided at the same time, unless such joint consideration would cause harmful delay or unless it is unnecessary in view of the nature or characteristics of the matter.

Section 26 — *Interpretation and translation*

- (1) The authority shall arrange for interpretation and translation in a matter that can become pending on the initiative of the authority, if:
 - (1) a party using the Romani language, sign language or another language does not know the language, Finnish or Swedish, used in the authority; or
 - (2) a person who owing to a handicap or illness cannot be understood.

- (2) The matter may be interpreted or translated into a language that the party can be deemed to know adequately in view of the nature of the matter.
- (3) For purposes of clarification of the matter or the safeguarding of the rights of the parties, the authority may arrange for interpretation and translation also in matters other than those referred to in subsection (1).
- (4) The right of a person using Finnish or Swedish to interpretation and translation arranged by the authority is governed by the Language Act (423/2003). Separate provisions apply to interpretation and translation into the Saami language. An authority shall see to it that citizens of other Nordic countries have access to the interpretation and translation needed in matters considered by it.

Section 27 — *Disqualification*

- (1) An official shall not participate in the consideration of a matter or be present during such consideration, if he/she is disqualified.
- (2) The provisions on the disqualification of officials apply also to members of multi-member bodies and other persons participating in the decision of a matter; as well as inspectors in their inspection duties.

Section 28 — *Grounds for disqualification*

- (1) An official shall be disqualified:
 - (1) if he/she or a close person is a party to the matter;
 - (2) if he/she or a close person assists or represents a party or a person due to gain specific benefit or suffer specific loss from the decision of the matter;
 - (3) if specific benefit or specific loss from the decision of the matter is foreseen for him/her or a close person as referred to in subsection 2, paragraph 1;
 - (4) if he/she is in service with or in a pertinent commission relationship to a party or a person due to gain specific benefit or suffer specific loss from the decision of the matter;
 - (5) if he/she or a close person as referred to in subsection 2, paragraph 1 is a member of the board, supervisory board or a corresponding organ of, or the managing director or in a comparable position in, a corporation, foundation, state enterprise or institution that is a party or that is due to gain specific benefit or suffer specific loss from the decision of the matter;
 - (6) if he/she or a close person as referred to in subsection 2, paragraph 1 is a member of the executive body or a corresponding organ of an agency or institution, where the matter pertains to the supervision or oversight of the agency or institution; or
 - (7) if his/her impartiality is compromised for another special reason.
- (2) For purposes of subsection (1) above, a close person is defined as:
 - (1) the spouse of the official, a child, grandchild, sibling, parent, grandparent of the official, a person otherwise especially close to the official, as well as the spouse of the same;
 - (2) a sibling of a parent of the official and the spouse of the same, a child of a sibling of the official and a previous spouse of the official; and

- (3) a child, grandchild, sibling, parent and grandparent of the spouse of the official, the spouse of the same, as well as a child of a sibling of the spouse of the official.
- (3) A comparable half-relative shall also be considered a close person. For purposes of this section, a spouse is defined as a partner in wedlock, a domestic partner and a partner in a registered partnership.

Section 29 — *Decision as to disqualification*

- (1) An issue of the disqualification of an official shall be decided without delay.
- (2) An official shall self decide as to his/her disqualification. However, a decision on the disqualification of a member or the referendary of a multi-member body shall be made by the body. A multi-member body shall also decide as to the disqualification of other persons entitled to attend. In a multi-member body, a member or the referendary may participate in the consideration of the issue of his/her disqualification only if the body would not have a quorum in his/her absence and if an alternate qualified person cannot be found without considerable delay.
- (3) A decision as to disqualification shall not be separately open to a rectification request or appeal.

Section 30 — *Continuation of the consideration of a matter*

An alternate qualified official shall be assigned without delay to replace a disqualified official. If this is not possible, the official may consider such urgent matters where the decision cannot be affected by the disqualification.

Chapter 6 — Clarification of the matter and hearing of parties

Section 31 — *Duty of clarification*

- (1) An authority shall see to it that a matter is adequately and appropriately clarified, by obtaining the information and accounts necessary for the decision of the matter.
- (2) A party shall provide information as to the grounds for his/her demands. A party shall also otherwise contribute to the clarification of a matter filed by him/her.

Section 32 — *Request for information*

A request for a statement or for other information shall indicate in detail what specific points should be covered by the information.

Section 33 — *Deadline for the provision of information*

- (1) A deadline, reasonable in view of the nature of the matter, shall be set for the supplementation of a document, the submission of an explanation and the provision of information.
- (2) A party shall be notified that a failure to meet the deadline will not preclude a decision in the matter. An extension to the deadline may be granted at the request of the party, if this is necessary for the clarification of the matter.

Section 34 — *Hearing a party*

- (1) Before the matter is decided, a party shall be reserved an opportunity to express an opinion on the matter and to submit an explanation on the demands and information which may have an effect on its decision.

- (2) A matter may be decided without hearing the party, if:
 - (1) the demand is ruled inadmissible or immediately rejected as groundless;
 - (2) the matter pertains to admission to service or to voluntary education or training;
 - (3) the matter pertains to the granting of a benefit on the basis of the personal characteristics of the applicant;
 - (4) hearing may jeopardise the objectives of the decision or the delay in the consideration of the matter arising from the hearing causes a significant hazard to public health, public safety or the environment; or
 - (5) the demand, which does not concern other parties, is approved or the hearing is for another reason obviously unnecessary.

Section 35 — *Hearing a client and a guardian or custodian*

When a guardian, custodian or other legal representative exercises the right to be heard, also the client shall be heard, and when a client exercises the right to be heard, also the guardian, custodian or legal representative shall be heard, if such hearing is necessary in view of the interests of the client or for the clarification of the matter.

Section 36 — *Notification of the hearing*

A party shall be notified of the purpose of the hearing and the deadline set for the submission of the explanation. When necessary, the notification on the hearing shall indicate the points on which clarification is being sought. The party shall be provided with the documents covered by the hearing in the original or as copies, or otherwise reserved an opportunity to peruse them.

Section 37 — *Oral demands and information*

- (1) Upon request, an authority shall reserve a party the opportunity to submit his/her demands or information orally, if this is necessary for purposes of clarification of the matter and if written procedure would cause unreasonable inconvenience to the party. The other parties shall be summoned to be present at the same time, if this is unavoidable in view of safeguarding the rights or interests of the parties.
- (2) On the request of a party, an authority may reserve an opportunity for the oral submission of information necessary for the clarification of the matter also in events other than that referred to in subsection (1).

Section 38 — *Viewing*

- (1) An authority may carry out a viewing, if this is necessary for purposes of clarification of the matter. A party shall be reserved the opportunity to be present in the viewing and to express an opinion on the points arising there. If necessary in view of the nature of the matter, also an authority whose statutory duty it is to oversee the activity in question or whose expertise is otherwise needed for a decision in the matter shall be summoned to the viewing. The viewing shall be carried out without causing unreasonable inconvenience to the object of the viewing or the person possessing it.
- (2) A record of the viewing shall be drawn up, covering the main observations made by the authority and the comments made by the party. The record shall without delay be served on the party and on the other participants in the viewing.

- (3) A viewing shall be an open event. The authority may restrict the access of the public to the viewing, if this is necessary in view of the nature of the matter or the nature of the activity being viewed. A viewing shall not be carried out in domestic premises protected against invasion by the Penal Code, unless specifically otherwise provided in an Act.

Section 39 — *Inspection*

- (1) An authority shall notify a party immediately concerned by the matter of the starting time of an inspection within its competence, unless such notification would compromise the purpose of the inspection. The party has the right to be present during the inspection and to express opinions and ask questions on points pertaining to the inspection. During the inspection, the party shall be informed, in so far as possible, of the purpose of the inspection, the procedure therein and the follow-up measures. The inspection shall be carried out without causing undue inconvenience to the object of the inspection or the person possessing it.
- (2) The inspector shall without delay draw up a report of the inspection, indicating the progress of the inspection and the essential observations made by the inspector. The inspection report shall be served on parties entitled to be present during the inspection.

Section 40 — *Testimony*

- (1) For a special reason, witnesses may be heard under oath and parties may be heard under affirmation of truth in an administrative matter. The parties immediately concerned by the matter shall be reserved an opportunity to be present when a witness or a party is being heard. They have the right to put questions to the person being heard and to express their opinion on the testimony.
- (2) Judicial assistance for the obtainment of testimony shall be extended by that Administrative Court where the hearing of the witness or the party can be most conveniently arranged. In a matter of judicial administration considered by a court, the hearing shall be arranged by the court in question.
- (3) The provisions of the Administrative Judicial Procedure Act apply to the disqualification of a witness and the right of a witness or a party to refuse to testify.

Section 41 — *Participation in policy-making*

- (1) If the decision of a matter may have a significant effect on the living or working conditions or other conditions of others than the parties, the authority shall reserve such persons the opportunity to receive information on the bases and objectives of the consideration of the matter and to express their opinion thereon.
- (2) The pending effect of the matter and the opportunity to participate in policy-making shall be brought to public attention in a manner consistent with the significance and extent of the matter.
- (3) However, the pending effect of the matter need not be brought to the public attention, if this would compromise the purposes of the decision, cause other significant harm or be obviously unnecessary.

Section 42 — *Filing of information*

A demand or information submitted orally that may affect the decision in the matter shall be registered or filed in another suitable manner. The

same provision applies to information taken from a personal data file as referred to in the Data Protection Act (523/1999).

Chapter 7 — Decision in a matter

Section 43 — *Form of the decision*

- (1) An administrative decision shall be issued in writing.
- (2) The decision may be issued orally, if this is unavoidable owing to the urgency of the matter.
- (3) An oral decision shall without delay be issued in written form, with instructions for a rectification request or an appeal. The rectification or appeal period shall begin as from the time when the decision has been served in writing, as specifically provided.

Section 44 — *Contents of the decision*

- (1) A written decision shall indicate clearly:
 - (1) the authority that made the decision and the date when it was made;
 - (2) the parties whom the decision immediately concerns;
 - (3) a statement of reasons for the decision and a detailed statement as to what the party is entitled or obliged to or as to how the matter has been otherwise decided; and
 - (4) the name and contact information of the person from whom the party may request additional information on the decision, if necessary.
- (2) When an oral decision is issued, the party shall be informed as to how the matter has been decided and as to what have been the reasons for the decision.

Section 45 — *Statement of reasons*

- (1) The reasons for a decision shall be supplied. The statement of reasons shall indicate the circumstances and information that have affected the decision and the provisions that have been applied.
- (2) A statement of reasons need not be supplied, if:
 - (1) an important public or private interest requires that the decision be issued at once;
 - (2) the decision pertains to an election carried out by a municipal multi-member body;
 - (3) the decision pertains to admission to voluntary training or to granting a benefit on the basis of the personal characteristics of the applicant;
 - (4) the decision approves a demand that does not pertain to other parties and others do not have standing to appeal against the decision; or
 - (5) a statement of reasons is for another special reason obviously unnecessary.
- (3) However, a statement of reasons shall be supplied in the situations referred to in subsection (2), if the decision constitutes an essential change of an established policy.

Section 46 — *Instructions for seeking rectification*

- (1) If a decision is open to appeal only after its rectification has first been sought in specific rectification proceedings, the instructions for seeking such rectification shall be issued at the same time as the decision.

- (2) Instructions for seeking rectification shall be issued also if it has been separately provided that an administrative decision is to be submitted to the consideration of an authority otherwise than by appeal.
- (3) The contents of the instructions for a rectification request shall be governed, in so far as appropriate, by the provisions in sections 47 and 49 on appeal instructions.

Section 47 — *Appeal instructions*

- (1) A decision that is open to appeal shall be accompanied with appeal instructions. These shall indicate:
 - (1) the appellate authority;
 - (2) the authority to whom the letter of appeal is to be delivered; and
 - (3) the appeal period and the date when the appeal period begins.
- (2) The appeal instructions shall indicate the required contents and annexes of the letter of appeal and how it is to be delivered.

Section 48 — *Notice of an appeal prohibition and non-appealability*

If appeal is prohibited under a special provision or if the decision is not open to appeal, the decision shall contain a notice of the same, citing the legal provision under which appeal is precluded.

Section 49 — *Correction of appeal instructions*

- (1) If no appeal instructions have been given or if it has been erroneously indicated that the decision is not open to appeal, the authority shall issue new, lawful appeal instructions.
- (2) If the appeal instructions are erroneous, the authority shall issue new appeal instructions if it is requested to do so within the appeal period indicated in the instructions or provided in the law.
- (3) The appeal period shall begin as from the date of service of the new appeal instructions.

Chapter 8 — Correction of an error in the decision

Section 50 — *Correction of a material error*

- (1) If a decision is clearly based on erroneous or insufficient information or on obviously incorrect application of the law, or if a procedural error has occurred in the decision-making, the authority may annul its erroneous decision and decide the matter anew.
- (2) The decision may be corrected to the benefit or the detriment of a party. The consent of the party shall be required for a correction of the decision to his/her detriment. However, the consent of a party shall not be required if the error is obvious and has arisen from the conduct of that party.

Section 51 — *Correction of a typographical error*

- (1) An authority shall correct the obvious typographical and arithmetical errors and the other corresponding clear errors in its decision.
- (2) However, an error shall not be corrected if the outcome of the correction would be unreasonable to a party and if the error has not arisen from the conduct of that party.

Section 52 — *Pending effect and consideration of a correction matter*

- (1) An authority shall consider a correction matter on its own initiative or on the demand of a party. The initiative shall be made or the demand submitted within five years of the date of the decision.

- (2) The correction of a material error shall require a new consideration of the matter and the making of a new decision. A typographical error shall be corrected by replacing the defective instrument by a corrected instrument. The party shall be reserved an opportunity to be heard before the correction of a typographical error, unless this is unnecessary.
- (3) The material or typographical correction shall be marked on the archive copy of the decision or into the information system used by the authority. The new or corrected instrument shall be issued free of charge.

Section 53 — *Supplementary provisions on correction procedure*

- (1) When an authority is considering the correction of a material error or a typographical error, it may prohibit or stay the enforcement of the decision for the time being.
- (2) If the decision to be corrected is subject to rectification or appeal or if it otherwise is subject to special statutory proceedings, the admission of the correction matter shall be notified and the eventual decision delivered to the appellate authority. The consideration of a correction matter shall have no effect on the lapse of an appeal period or another set period of time.
- (3) A decision of an authority rejecting a demand for the correction of an error shall not be open to appeal.

PART III — SERVICE OF ADMINISTRATIVE DECISIONS AND OTHER DOCUMENTS

Chapter 9 — General provisions on service

Section 54 — *Duty of service*

- (1) An authority shall without delay serve its decision on a party and on other known persons who have standing to appeal against it or seek its rectification. The authority shall likewise serve a decision containing an appeal prohibition.
- (2) During the consideration of the matter, the authority shall see to the service of notifications, summonses or other documents pertaining to the consideration.
- (3) A document shall be served in the original or as a copy. If the document to be served has attachments that cannot be given to the addressee, the authority shall reserve the addressee the opportunity to peruse the attachments at the premises of the authority or the process server. When the document is being served, the addressee shall be informed where and until when the attachments are available.

Section 55 — *Modes of service*

- (1) Service shall be effected as regular or verifiable service or, if it cannot be so effected, as service by public notice.
- (2) Service by public notice may be effected also if a document should be served on more than thirty known persons or if the number of recipients is unknown.

Section 56 — *Service on private individuals*

- (1) Service on a private individual shall be effected on the person himself/herself or to a legal representative. If the addressee and the representative have a parallel right to be heard in the matter, the service shall be effected separately on both of them.

- (2) In a matter pertaining to two or more joint parties, service shall be effected on the designated contact person in the joint letter. If no contact person has been designated, the service shall be effected on the first signatory of the letter. This party shall inform the other signatories of the service.
- (3) Service shall be effected on a person duly authorised by the party, unless the right of the same to receive service has been specifically restricted or unless the service is to be effected on the party personally. An authorised person shall be informed of service effected on the client.

Section 57 — *Service on corporations, foundations, decedent's estates and bankruptcy estates*

- (1) Regular service on a corporation or foundation shall be effected to the address notified by the same. Verifiable service on a corporation or foundation shall be effected on a person who is authorised to receive service on behalf of the same.
- (2) Service on a decedent's estate shall be effected on the shareholder in possession of the estate or on the estate administrator. If the decedent's estate is in the joint possession of several shareholders, service may be effected on any of them. The shareholder shall inform the other shareholders of the service.
- (3) Service on a bankruptcy estate shall be effected on the estate administrator.

Section 58 — *Service on authorities*

- (1) Service shall be effected on the authority that has standing as a party to the matter. If there is doubt as to which state authority has standing as a party to a given matter, the service shall be effected on a State Provincial Office.
- (2) Service on a municipality shall be effected on the mayor or on the chairperson of the municipal body with standing as a party to the matter. The service may be effected also on other persons authorised to receive service on behalf of the mayor or a chairperson.
- (3) Service on a private party performing a public administrative task shall be effected as provided above on service on private individuals.

Chapter 10 — Service procedure

Section 59 — *Regular service*

- (1) Regular service shall be effected by sending a letter to the addressee.
- (2) The addressee shall be deemed to have received service in seven days from the sending of the letter, unless it is otherwise proven. However, an authority shall be deemed to have received service of a matter on the date of arrival of the letter.

Section 60 — *Verifiable service*

- (1) Service shall be effected by post against a postal receipt, if it pertains to a decision imposing an obligation and if the appeal period or another period affecting the rights of the recipient begins from the service. Postal receipts can be used also if otherwise necessary for the safeguarding of the rights of the parties. The postal receipt shall indicate the effector and the addressee of the service and the date of service.
- (2) Upon request, a document may also be handed out to the addressee or his/her representative. In this event, a written certificate of service shall

be drawn up, indicating the effector and the addressee of the service and the date of service.

- (3) If an authority deems it necessary, service may be effected by a process server. The provisions in chapter 11 of the Code of Judicial Procedure apply, in so far as appropriate, to service by a process server. Service by a process server may be effected also by an official in service with a state or municipal authority who has been specifically ordered to perform service in matters falling within the competence of that authority. The provisions of this Act on disqualification apply to the disqualification of a process server.

Section 61 — *Proxy service*

- (1) If the addressee of a verifiable service or a representative thereof cannot be found, a sealed document may be served on the following, if consenting to the same:
 - (1) a person who has attained the age of fifteen years and lives in the same household as the addressee;
 - (2) the employer of the addressee or a representative of the employer;
 - (3) if the addressee pursues a business in permanent business premises, a person employed by the business;
 - (4) an office employee in the service of an addressee corporation or foundation.
- (2) A written certificate of proxy service shall be drawn up, indicating the effector of the service and the person to whom the document was given, and the date of service. A copy of the certificate of proxy service shall without delay be sent to the addressee of the service.
- (3) Service shall be deemed to have been effected on the third day after the date noted on the certificate of proxy service. A proxy service shall not be effected, unless it can be assumed that the addressee will receive the document within a reasonable time.

Section 62 — *Service by public notice*

- (1) Service by public notice shall be effected by keeping the document available to the addressee on the premises of the authority for a given period.
- (2) Notice of the availability of the document shall be published in the Official Gazette, and also on the official bulletin board of the authority or in the newspaper that is the likeliest to come to the attention of the addressee. The notice shall indicate the nature of the matter and where and how long the document will be kept available.
- (3) The notice shall indicate that the service is deemed to have been effected on the seventh day from its publication in the *Official Gazette*.

Section 63 — *Service abroad*

- (1) Service shall be effected abroad in accordance with the provisions of this Act or of the legislation of the foreign state in question, unless otherwise ensues from international agreements or obligations binding on Finland.
- (2) If service cannot be effected abroad, the document shall be served in Finland by public notice.

PART IV — MISCELLANEOUS PROVISIONS AND ENTRY INTO FORCE

Chapter 11 — Miscellaneous provisions

Section 64 — *Costs of an administrative matter and costs of evidence*

- (1) In an administrative matter, everyone shall bear his/her own costs.
- (2) There are separate provisions on the charges for administrative decisions and on the costs of service. The Legal Aid Act (257/2002) contains provisions on legal assistance given at the expense of the state.
- (3) In so far as appropriate, witnesses' fees shall be paid in accordance with the provisions of the Act on the Costs of Evidence Payable from State Funds (666/1972). The fee shall be paid from the operating funds of the authority. If there is a reason, the authority may oblige a party to fully or partially reimburse the authority for the fees paid from state funds.

Section 65 — *Disqualification of an interpreter or a translator*

A person who is in such a relationship with a party or the matter that his/her credibility is thereby compromised shall not be retained as an interpreter or translator.

Section 66 — *Administrative litigation in contract*

A dispute on an administrative contract shall be considered as a matter of administrative litigation in an Administrative Court, as provided in the Administrative Judicial Procedure Act (586/1996).

Section 67 — *Administrative sanctions*

An authority may reinforce a prohibition, obligation or requirement imposed by it by way of a threat of a fine, a threat of compulsory action or a threat of compulsory cessation, or another administrative sanction, as separately provided.

Section 68 — *Tort liability for failure to forward a service of a document*

- (1) A party liable to provide information under sections 56(2) and 57(2) and a recipient of proxy service referred to in section 61(1) shall be liable to compensate for the loss arising from the non-forwarding or delayed forwarding of the document, in so far as this is deemed reasonable in view of the nature of the failure and the other circumstances.
- (2) The authority shall attach a notice on the liability to inform or forward, as referred to in subsection (1), to the document to be served, as well as advise of the tort liability arising from a failure in the same.

Section 69 — *Breach of privilege*

The breach of the privilege provided in section 13 shall be punishable under chapter 38, section 1 or 2, of the Penal Code, unless the act is punishable under chapter 40, section 5, of the Penal Code or unless a more severe penalty for the act is provided elsewhere in the law.

Chapter 12 — Entry into force and transitional provisions

Section 70 — *Entry into force*

- (1) This Act enters into force on 1 January 2004.
- (2) This Act repeals the following Acts, as later amended:
 - (1) the Administrative Procedure Act (598/1982);
 - (2) the Act on the Delivery of Documents (74/1954); and
 - (3) the Act on Service in Administrative Matters (232/1966).

Section 71 — *Transitional provisions*

- (1) Matters that have become pending before the entry into force of this Act shall be considered in accordance with the previous provisions. However, matters returned for a new consideration shall be considered in accordance with the provisions of this Act. This Act applies to administrative contracts concluded after its entry into force.
- (2) References in other legislation to the Administrative Procedure Act, the Act on the Delivery of Documents or the Act on Service in Administrative Matters shall after the entry into force of this Act be deemed to refer to this Act.
- (3) Measures necessary for the implementation of this Act may be undertaken before its entry into force.

Central Information Commission

August Kranti Bhawan

Bhikaji Cama Place

New Delhi-110 066

Date: 09-12-2010

Subject :

- 1. Roles of CPIO and Transparency Officer (TO)**
- 2. Level of Transparency Officer (TO)**
- 3. Job Chart of Transparency Officer (TO)**

Reference: D.O.No.CIC/AT/D/10/000111 dated 15.11.2010

Apropos the subject and reference cited, certain public authorities have requested clarification regarding the roles of the Transparency Officer (T.O.) vis-à-vis the CPIO, and the level of the Transparency Officer.

2. It is clarified that the institution of Transparency Officer is in fact an administrative arrangement for promotion of institutional transparency within the public authority through proactive and effective implementation of the provisions of Section 4 of the RTI Act, 2005. These include effective record management, digitization of records, networking and incremental proactive disclosures.

3. The CPIO and the Appellate Authority, on the other hand, are parts of the RTI-regime and, in that sense, are statutory officers under the RTI Act. Their functions shall be as defined in Sections 7 and 19(1) of the Act respectively.

4. Within the public authority, a CPIO will be free to seek guidance from the Transparency Officer about disclosure-norms – both in its general and specific aspects.

5. The level of Transparency Officer, in any public authority, may vary depending on the availability of personnel of a requisite level. However, to be effective, a Transparency Officer should be of sufficiently high seniority in the organization, having uninterrupted and free access to the head of the public authority. He should also be able to effectively communicate and liaise with Divisional Heads of the public authority.

It is, therefore, desirable that T.O. is either No.2 or No.3 behind the head of the organization, in the official hierarchy.

6. Job Chart of Transparency Officer

Transparency Officer (TO) shall be the main centre of all actions connected with promotion of institutional transparency commensurate with the letter and spirit of the RTI Act. In performing this role, the TO shall:

- i. Act as the interface for the Commission vis-à-vis the public authority on the one hand, and on the other vis-à-vis the public authority and the general public/information seeker.
- ii. Engage continuously, in implementing the Commission's directive dated 15.11.2010 regarding pro-active disclosures under section -4 of RTI Act, vis-à-vis the public authority concerned.
- iii. Regularly monitor decisions of the Central Information Commission (<http://cic.gov.in>) with a view to identify areas of openness both generic and specific as a result of such decisions.

Ensure that all levels of employees of the public authority are sensitized about these decisions and their implications.

Be responsible for issuing advisories, to officers/staff about need for sensitivity to institutional transparency and act as a change agent.

Be responsible for sensitizing the officers/staff that the time limit stipulated in the RTI Act are outer limit for matters raised under RTI Act and officers/staff are required to be mentally tuned to disclose all informations, predetermined as open, within the shortest possible time on receiving request.

- iv. Be the contact point for the CPIO/FAA/Divisional Heads in respect of all RTI related matters of the Organisation. He will be the clearing house in all matters about making transparency the central point of organizational behaviour.
- v. Constantly remain in touch with the top management in the public authority about the strategy and the action to promote transparency within the organisation.

Promote good management practices with the organisation centered on transparency.

- vi. Devise transparency indices for various wings of the public authority in order to introduce healthy competition in promoting transparency.

- vii. Help set up facilitation centres within the premises of the public authority, where members of the public can file their requests for disclosure of specific information and can inspect the records and documents etc.
- viii. Work out, in consultation with the departmental officers, the parameters of record management- its classification and indexing, plan of action for digitization of documents and records, networking etc and oversee and help implement the functions laid down in section 4 (1) (a) and 4 (1) (b) of the RTI Act.
- ix. Prepare information matrix based on analysis of RTI applications filed before the public authority and response thereof and, suggest to the top management the need for process reengineering, wherever necessary, as well as work out modalities of suo motu disclosure of such information.
- x. Be responsible for creating condition(s) in the organisation to establish an information regime, where transparency/disclosure norms are so robust that the public is required to have only the minimum resort to the use RTI Act to access information.
- xi. Be responsible for operating a user-friendly website for various information relating to the public authority concerned, including inter alia search option.
- xii. With the help of the appropriate wing of the public authority, set-up arrangements for training of the personnel to promote among them higher transparency orientation away from intuitive reflex towards secrecy, now common.
- xiii. Establish dialogue with the top management and key officials of the public authority regarding prevention of unnecessary confidentiality classification of documents and records under the Official Secrets Act and to check over classification.

(B.B. SRIVASTAVA)
Secretary

Anti Corruption Strategies

Department of Personnel & Training
Government of India

Government is committed towards zero tolerance against corruption and has taken several steps for anti corruption measures. Unfortunately, such interventions have been perceived to be ineffectual and there is cynicism on the subject. These are, in the words of second ARC report (January 2007), “seen as more posturing without any real intention to bring the corrupt to book.”

2. The Second ARC in its Report 'Ethics in Governance (January 2007) extensively dealt with the subject & came to the conclusion that 'enforcement of rule of law and deterrent punishment against corruption are critical to build an ethically sound society'. In the recommendation they dealt with details such as the ethical framework; framework for fighting corruption, systematic reforms, Institutional framework, social framework, etc. The recommendations of the ARC on the subject are under consideration of the Govt.

3. The Government of India in January 2011 constituted a Group of Ministers to consider measures that can be taken by the Government to tackle corruption. The deliberations of the GOM is progress on the following terms of reference:

- (i) To consider all measures, including legislative and administrative, to tackle corruption and improve transparency;
- (ii) In particular, the GoM may consider and advise on the following:
 - (a) State funding of elections;
 - (b) Fast tracking of all cases of public servants accused of corruption;
 - (c) Ensuring full transparency in public procurement and contracts, including enunciation of public procurement standards and a public procurement policy;
 - (d) Relinquishing discretionary powers enjoyed by Ministers at the Centre;
 - (e) Introduction of an open and competitive system of exploiting natural resources;
 - (f) Amendment to Article 311 of the Constitution to provide for summary proceedings in cases of grave misdemeanor or blatant corruption by public servants; and
 - (g) Consideration of relevance/need for section 6(A) of the Delhi Special Establishment Act, 1946.

4. Lokayukta

4.1 At present 17 States have enacted the Lokayukta Act. The ARC recommendations have also dealt with this subject. The States should make efforts in this direction. Further, two sample Acts of the States, viz., M.P. Lokayukta Act and Karnataka Lokayukta Act have also been attached for comparison. (Annexure-I).

5. Fast tracking of all cases of public servants accused of corruption

5.1 Introduction: The issue regarding fast tracking of all corruption cases has two broad aspects one pertaining to Departmental Proceedings, and another pertaining to the Criminal Cases conducted before the competent Courts. In addition, there are related issues regarding action to be taken against corrupt public servants by the State Governments in respect of their area of jurisdiction and of providing a legal framework for the forfeiture of property of the corrupt public servants. The following areas are covered in the note:

- a) Fast tracking of Departmental Proceedings against corrupt public servants.
- b) Fast tracking of Court Cases against corrupt public servants.
- c) Providing for Forfeiture of property of corrupt public servants.

5.2 Fast tracking of Departmental Proceedings against Corrupt Public Servants: The detailed procedure for imposing penalties, has been laid down in CCS(CCA) Rule, 1965 in the case of Central Government employees and in the All India Services (Discipline & Appeal) Rules, 1969 in the case of All India Services. These procedures do not, however, prescribe any time limit for completion of the process for imposing penalty. Similar rules are available for the State Government employees as well.

5.3 It has been observed that such proceeding takes a very lengthy time. The ARC in its report quoted a survey conducted by the Indian Institute of Public Administration, New Delhi which reported the following findings about the percentage of delay in disposal of Disciplinary Inquiries in the case of Central Government employees at different levels:

- (i) Administrative Departments- 69%
- (ii) Inquiry Officers in Disciplinary Inquiries -17%
- (iii) Central Vigilance Commission (CVC)-9%
- (iv) Union Public Service Commission (UPSC)-5%

Similar would be the picture in various States as well. The 2nd Administrative Reforms Commission's 4th Report titled "Ethics in Governance", made certain important recommendations which will help in shortening the DP and taking the final decisions. These recommendations have been forwarded to the State Government. These include also the proactive vigilance measures. The Government had set up a Committee of Experts under the Chairmanship of Shri P.C. Hota, former Chairman, UPSC, with Shri Arvind Varma, former Secretary (Personnel) and Shri P. Shanker, former Central Vigilance Commissioner as its Members, to examine and suggest measures to expedite the process involved in Disciplinary/Vigilance Proceedings. The Committee, after studying the reasons for delay at various stages of Departmental Proceedings, has come up with several recommendations (July 2010) for cutting down the delay at the various stages. Major recommendations, inter alia, include the following:

(i) Regarding measures for speeding up of inquiry proceedings, the Committee has recommended preparation of a panel of Inquiry officers and Presenting Officers from amongst retired officers, amending rules to enable retired persons to act as Presenting Officers, and providing them adequate remuneration, secretarial assistance and transport allowance to discharge their duties. Also, in order to cut down the delay in securing attendance of witnesses, the Committee has recommended adequate and timely Travelling Allowance and reimbursement of expenses to witnesses on both sides.

(ii) In order to reduce the time taken to obtain approval of Minister-in-Charge, the Committee has recommended delegation of powers to the concerned Secretary to exercise the powers under D & A Rules quickly and effectively for certain category of officers.

(iii) In order to reduce time taken in obtaining statutory advice, Committee has recommended doing away with UPSC consultation for Minor Penalty, and also recommended

consulting CVC at the first stage only. The Committee has also recommended reclassification of individual penalties so that the Disciplinary Authorities do not have to conduct enquiry for minor penalty.

(iv) The Committee has also suggested that mere superannuation should not be a ground for dropping proceedings for minor penalty. A cut in pension up to 20% should be imposed in this type of minor penalty. Also, the present major penalty of compulsory retirement with full benefits should be changed to compulsory retirement with up to 33% cut in pension.

(v) The protection under Article 311(2) of the Constitution should not be available to public servants committing blatant corruption, against whom a high powered Advisory Board headed by retired Supreme Court Judge has found adequate prima facie evidence.

5.3.1 The recommendations have been forwarded to State Government for their comments and further actions.

5.4.1 Fast tracking of Court Cases against corrupt Public servants: There are delays in granting Prosecution Sanction against corrupt Government servants. The Government is keen that innocent officers should not needlessly face harassment through prosecution while at the same time the really culpable and guilty officers should not escape prosecution on account of failure of the competent authority to appreciate properly the fact brought out in the investigation reports. The delay in grant of prosecution sanction occurs as each case is required to be examined for decision on merits. The reasons for the delay in obtaining prosecution sanction is generally attributed to incomplete Superintendent of Police report, which may not be adequately supported by convincing documentary evidences. Sometimes there are delays in taking decision by the concerned competent authority who may choose to enter into correspondence with other authorities including the Vigilance Authorities and by considering representations of the accused officer.

5.4.3 The Prevention of Corruption Act, 1988 contains specific provisions for conducting speedy trials. Section 4 (4) of the Act provides that "Notwithstanding anything contained in the Code of Criminal Procedure, 1973, a Special Judge shall, as far as practicable, hold the trial of an offence on day-to-day basis". Similarly, Section 6 provides for summary trial of cases. In spite of specific provisions, there have been instances in which High Courts have been granting stay on trial under the PC Act either directly or indirectly by summoning the records. Even the appeals filed in High Courts after conviction take a long time for disposal. As on 31.12.2010, about 9927 cases investigated by the CBI were pending for trial before the various Courts, which contain a large number of cases which are more than 10 years old. A statement showing the State-wise pendency of CBI cases under trial is at Annexure-II.

5.4.4 The trials under all Statutes/Acts are conducted as per the provisions of the CrPC. Time frame is usually not prescribed for completion of trial under any Statue/Act. Inserting a provision in the Prevention of Corruption Act for completion of trial in a time bound manner may not be of any help without systemic changes under the CrPC. Therefore, there is a need for bringing in systematic changes in the criminal justice system to make it effective. The recommendations of the Madhava Menon Committee are already being considered by the Government towards this end.

5.4.5 However, the Government has taken certain pro-active steps to speed up the trial of cases investigated by the CBI, as discussed below:

5.4.6 Setting Up of Special Courts for exclusive trial of cases disposed of by CBI: The Central Government had set up 20 Courts of Special Judges and 16 Courts of Special Magistrates in the year 1987 and it was decided that the expenditure for setting up and running these Courts would be reimbursed in full by the Government of India to the concerned State Governments. Thereafter, more Special Courts were set up as and when proposals were received from the CBI. Till 2009, 49 such Special Courts (39 Courts of Special judge and 10 Courts of Special magistrates) had been set up in various parts of the country.

5.4.7 Given the huge pendency of CBI cases in various courts, Hon'ble CJI, in his letter dated 07.04.2008 to the Government had impressed upon the need for having additional courts by applying norms of not more than 50 cases in each court. Based on the yard-stick, it was estimated that there is a need for creation of 71 additional courts of Special Judges to try cases under Prevention of Corruption Act investigated by CBI to facilitate quicker disposal of long pending cases.

5.4.8 State Governments have been requested to set up the Special Courts and for this purpose, both recurring and non-recurring expenditure in setting up and functioning of these special courts would be reimbursed by the Government of India.

5.4.9 Out of 71 additional Special Courts, orders have been issued for setting up of 54 Courts as per Annexure-III. The Courts have to be set up by the concerned State Governments. Out of the 54 Courts sanctioned till date, eight Courts have become operational. The matter has been taken up with the concerned State Governments for expediting the setting up and operationalization of the remaining Special Courts. State Governments are requested to send the proposals for setting up additional CBI courts, if not already sent, and initiate efforts to make these courts functional on urgent basis.

(ii) Strengthening the State Vigilance Organizations

5.5.1 In August, 2009, the Heads of States' Anti-corruption Bureaux and the Central Bureau of Investigation held their XVII Biennial Conference, which was inaugurated by the Hon'ble Prime Minister of India. The conference devoted major portion of their discussions to the themes of benchmarking, standardization of operating procedures for anti-corruption investigations, evolving a regular institutional framework for enhanced cooperation among the various investigating agencies both at the Centre and in the States and their skill up gradation. It was felt during the conference that the following areas should be strengthened:

- 1) Formulation of National Standard Operating Procedures (SOPs) for Anti-Corruption Investigations, Trials and various other stages of legal process.
- 2) Ways and means to create awareness among people against corruption which should include encouraging the norm of refusal to pay bribes.
- 3) Change of existing laws/drafting of new anti-corruption rules and regulations.
- 4) Model frame work for the Anti-Corruption/Vigilance Units in States.
- 5) State-of-the-art equipments for investigating units as well as support system for mobility, surveillance and scientific evaluation of evidence.

- 6) Work out the annual requirement of funds for complete revamping of ACBx/Vigilance Bureaux/CBI.
- 7) Prescribing mandatory tenure for anti-corruption officers, autonomy in the selection of personnel for vigilance related jobs and the need for grant of suitable financial incentive to staff of vigilance units.
- 8) Preparation of Training Need Analysis and a schedule for an effective training programme for all staff engaged in investigating jobs so as to bring about a total qualitative change by their skill up gradation.

5.5.2 Looking to the need to strengthen the vigilance setup in States, a Centrally Sponsored Scheme is being considered to provide for funds for equipping the Anti-Corruption Agencies of the State Governments with the necessary equipment and training to combat corruption effectively. The views and suggestions of the State Government have been requested.

5.5.3 The State Governments can also undertake the following proactive measures for strengthening the anti-corruption framework and capacity building of the agencies as well as the personnel associated with them :

- (i) Put in place the necessary infrastructure, in terms of prosecutors as well as special courts, to speed up the trial of cases investigated by State Vigilance Bureaus.
- (ii) Preparation and implementation of citizen charters and identifying areas prone to corrupt practices.

5.6.1 Providing for Forfeiture of property of corrupt public servants: The question of amending the PC Act, 1988 to include the provisions for attachment or confiscation or forfeiture of property of corrupt public servants on the lines of the Criminal Law (Amendment) Ordinance, 1944, has been engaging the attention of the Government for quite some time past. A bill to amend the PC Act 1988 on these lines was introduced in the Lok Sabha and passed on 23.12.2008. However, the Bill lapsed due to dissolution of the 14th Lok Sabha.

5.6.2 The provisions for forfeiture of property exist in the Prevention of Money Laundering Act, 2002 and are exercised by the Directorate of Enforcement. As per Section 5 of this Act, any officer not below the rank of Deputy Director can provisionally attach such property for a period not exceeding 150 days. The order of attachment shall be made in relation to a scheduled offence under the Act. Immediately after attachment a copy of the order, along with the material in his possession is referred to the Adjudicating Authority. The offences under the Prevention of Corruption Act, 1988 are covered under paragraph 5 of Part B of the Schedule to the PMLA 2002. However, for the offences listed in Part B of the Schedule to PMLA 2002, only those offences are covered where the total value in such offences is Rs. 30 lakhs or more.

5.6.3 Recently, the Bihar Special Courts Act, 2010 has come into effect. This Act provides for setting up of Special Courts to prosecute persons involved in corrupt practices and confiscate their ill gotten assets. Section 13 of the Bihar Special Courts Act, 2010 provides for the Confiscation of Property. Under this Act, for confiscation of property of the accused, an application is to be moved before the Authorized Officer. The authorized officer (who is any service officer belonging to Bihar Superior Judicial Service and who is or has been Session

Judge/Additional Sessions Judge, nominated by the State Government with the concurrence of the High Court) may, after considering the explanation, if any, show cause notice under section 14 of the Act, and on the basis of the materials available before it, and after giving to the person affected (and in case here the person affected holds any money or property specified in the notice through any other person, to such other person also) a reasonable opportunity of being heard, may pass an order that such money or property stands confiscated to the State Government free from all encumbrances. The order of confiscation passed shall, subject to the order passed in appeal, if any, be final and shall not be called in question in any Court of law. If finally not convicted, the procedure of confiscated property along with interest (@ 5%) will be refunded to the acquitted public servants.

5.6.4 At present, attachment of property in PC Act cases is done as per the Criminal Law Amendment Ordinance, 1944. An application for attachment is filed with the authorization of the competent authority (Central/State Government as the case may be) before the District Judge for attachment of property of the accused. Upon receipt of an application the District Judge shall, pass without delay an *ad interim* order attaching the money or other property. The District Judge is also required to issue notice to the person whose money or other property is being attached, calling upon him to show cause why the order of attachment should not be made absolute. After hearing the objections, if any, the District Judge passes order or attachment or otherwise of the property. The period of attachment is one year where no cognizance of the alleged offence is taken or unless the District Judge on application by the agent of the State Government or as the case may be, the Central Government thinks it proper and just that the period should be extended and passes an order accordingly.

5.6.5. The State Government may like to examine the Bihar Model on the subject.

6. Ensuring full transparency in public procurement and contracts, including enunciation of public procurement standards and a public procurement policy

6.1 There is a need for comprehensive public procurement standards and a single authority to handle public procurement policy (and not procurement), which would be cost effective and obviate a lot of complaints and vigilance cases. The Group of Ministers is looking into this matter.

6.2 An expert Group may be constituted in the States to examine this issue and bring transparency in procurement of goods and services.

7. Relinquishing discretionary powers enjoyed by Ministers at the States

7.1 There are efforts undertaken in the Central Government to relinquish the discretionary powers enjoyed by Ministers at the Centre. It may be stated that a GoM on Anti-corruption, as set up by the Government of India on 6/1/2011 is already examining the discretionary powers of the Ministries with a view to rationalize the same. State Government may consider initiating a similar effort.

8. Introduction of an open and competitive system of exploiting natural resources

8.1 The need expressed is to have an open and competitive system of exploiting natural resources. An expert group may be constituted in the States to bring out transparency on the subject.

9.1.1 Implementation of the provisions of Right to Information Act: Right to Information is implicitly guaranteed by the Constitution. Nevertheless, recognizing a need for setting out a practical regime for securing information by citizens from the public authorities and to promote transparency and accountability in the working of all public authorities, the Parliament enacted the Right to Information Act in 2005.

9.2 The law is comprehensive and covers disclosure of information on almost all matters of governance. It is applicable to Government at all levels- Union, State and Local and also to the bodies owned, controlled or substantially financed directly or indirectly by the government. It covers all legislative bodies, the judiciary, the executive and all Constitutional bodies.

9.3 The Act applies a two pronged strategy for dissemination of information. It casts an obligation on public authorities for suo moto disclosure/publication of large amount of information. It also requires the public authorities to supply information called for by any citizen and to permit him to inspect the documents and collect samples of various works. The procedure for seeking information is very simple. A person seeking information has to make a request to the concerned Public Information Officer indicating the information required and the address at which the information is required. The request may be sent either by post or submitted in person. It can be made in Hindi or English or in the official language of the area and can also be sent through email.

9.4 The Act creates an elaborate machinery to ensure supply of information which consists of Public Information Officers, Assistant Public Information Officers, independent Central Information Commission and State Information Commissions etc.

9.5 The Act requires supply of information on time bound basis. A Public Information Officer is required to send information called for at the specified address within 30 days. In case of information concerning the life or liberty of a person, the information is provided within forty eight hours. If the information is not provided within the prescribed period, the Act makes provision for imposition of stringent penalty on the Public Information Officer. The Public Information Officer may have to pay a penalty of Rs.250 per day of delay subject to a maximum penalty of Rs. 25,000/-.

9.6 The information Act has created a system of two appeals. If an applicant does not get information within the prescribed period or the applicant is not satisfied with the reply given to him, he can make first appeal within 30 days to the departmental appellate authority who is generally the next superior officer to the Public Information Officer. If the applicant is not satisfied with the decision of the first appellate authority, he can file a second appeal to the Central Information Commission or the State Information Commission, as the case may be, within 90 days.

9.7 The provisions of the Act have been made over-riding in character, so that the scheme is not subverted through the operation of other minor Acts. However, certain types of information pertaining to security of the country, scientific or economic interest of the country

and information on trade secrets, etc. are exempted from disclosure. These are such matters on which a common man would hardly require information. Certain security or intelligence organizations, have been exempted from disclosing any information except pertaining to corruption or violation of human rights. Such organizations are required to designate Public Information Officers and first Appellate Authorities to deal with applications and appeals relating to information pertaining to corruption or violation of human rights.

9.8 The Government of India has constituted the Central Information Commission and all the 27 States to which the Act applies have constituted State Information Commissions.

9.9 An independent study (by M/S PWC) captioned "Understanding key issues and constraints in the effective implementation of RTI", was undertaken by DOPT. The 12 month long study has since been completed. Based on a statistical sample covering 5 States, the study took into account the feedback of 2000 plus information seekers, and 200 plus information providers across the public authorities at Centre, States and local levels in addition to obtaining feedback of 5000 citizens with reference to the awareness to RTI. The report discusses the progress made so far on RTI (including the success stories under the RTI campaign), identifies key issues and constraints in implementation of the Act, and makes certain recommendations by drawing an action plan for the Govt. to consider. On the issues/constraints, the report discussed the issues faced at the demand side, issues faced at the supply side, & issues faced at the side of Information Commissions. The report also draws upon lessons from the international experiences (from countries such as Mexico & Canada). Some of the key observations (out of the sample population surveyed) in the Report are:-

- a) Only 13% of the rural population and 33% of urban population are aware of the RTI Act.
- b) More than 26% of citizens had to pay more than 3 visits to submit RTI application.
- c) More than 75% of citizens not satisfied with the quality of information provided.
- d) 45% of PIOs mentioned that they had not been provided training in RTI.
- e) In the Information Commission, there is large pendency of cases with a wait time of 4-12 months in most of the States.
- f) 65% of public authorities have not published their proactive disclosure on the websites.

9.10 The study's broad recommendations cover the following broad areas:

- a) Enhancing accountability and clarity of role of various stake holders;
- b) Improving RTI awareness;
- c) Improving convenience in filing requests;
- d) Common infrastructure and capacity building;
- e) Improving efficiency at Information Commission;
- f) Institutionalizing Third Party audit.

9.11 The reports have been forwarded to the State Government, and it is requested that efforts may be made to implement the recommendations of the report.

9.12 The Central Government and the State Governments are Appropriate Government for the under this Act. As the Appropriate Governments they Department have a legal mandate under Section 26 to:

- a) Develop and organise educational programmes to advance the understanding of the public, in particular of disadvantaged communities as to how to exercise the rights contemplated under this Act;
- b) Encourage public authorities to participate in the development and organisation of programmes referred to in clause (a) and to undertake such programmes themselves;
- c) Promote timely and effective dissemination of accurate information by public authorities about their activities; and
- d) Train Central Public Information Officers or State Public Information Officers, as the case may be, of public authorities and produce relevant training materials for use by the public authorities themselves

9.13 From December 2005 to December 2009, the Central Government implemented a UNDP funded program the "Capacity Building for Access to Information" (CBAI). Under this program training of Public information Officers and other stakeholders was undertaken in 2 districts of each state. The program also lent itself to publishing handbooks and guidelines for trainers, information providers, public authorities and information seekers. An RTI knowledge portal www.rti.org.in was hosted under the program.

9.14 Keeping in view the learning's from the CBAI program and the mandate under the Act a Centrally Sponsored Plan Scheme for capacity building and awareness generation for effective implementation of the RTI Act was launched for two years in November, 2008. The scheme had the following objectives:

- (a) Strengthening of State Information Commissions.
- (b) Capacity building of stakeholders including Government Officers as well as public participants.
- (c) Awareness Generation.
- (d) To support appropriate Governments to meet the statutory requirement to develop and organize educational programmes especially keeping in view the needs of the marginalized disadvantaged groups.

9.15 The key achievements of the scheme in 2008-2009 and 2009-2010 were:

- (i) Awareness campaigns through print as well electronic media; guidebooks were published and widely distributed; posters on RTI were printed and displayed in post offices. Grants were released to the state governments through State Information Commissions as well, who undertook publicity through local media.
- (ii) Approximately 22,000 Government officers at various levels were trained in State Governments and 10,500 handbooks were prepared and distributed through Administrative Training Institutes. An online training programme on RTI was developed and launched. It is open to all stakeholders.

- (iii) State Information Commissions were provided funds to set up IT infrastructure and they have also been assisted in development of software for strengthening their monitoring function.
- (iv) A National Resource Centre on RTI (NRC) has been set up through Centre for Good Governance, Hyderabad who have also been designated as the Knowledge Partner. CGG have designed an IT based Knowledge portal (www.rti.gateway.org.in) for sharing and exchange of information and ideas amongst different stakeholder groups.
- (v) A LOGO on RTI has been designed and all Chief Secretaries have been requested to display it at appropriate places.

9.16 In 2010 a detailed exercise was undertaken to review the scheme and also to assess the current situation so that proper modifications may be made in the scheme for the remaining 2 years.

9.17 The assessment was carried out through:

- (a) An independent study 'Understanding the key issues and constraints in effectively implementing the RTI Act' commissioned in 2008.
- (b) A brain-storming session with Civil Society Organisations on 31st March, 2010 to discuss issues relating to implementation of the RTI Act.
- (c) Discussion with Secretaries of SIC in April, 2010 regarding the working of the Central Sponsored Scheme.
- (d) A detailed questionnaire was prepared and circulated to all State Governments and was also displayed on the website for access by CSOs and general public to seek feedback on the working of the scheme and suggestions for improvement.

9.18 Consultations with stakeholders

(I) Brainstorming Session with Civil Society Organizations.

A Brainstorming with Civil Society Organizations was organized in New Delhi on 31.03.2010. The key issues highlighted during this brainstorming were:

- a) Strengthening of disclosure of information under section 4 of the RTI Act
- b) RTI friendly record management system
- c) Constructive interaction among all stakeholders.
- d) Implementation of Section 26 Awareness Generation
- e) Capacity Building of all stakeholders.
- f) Effective Implementation of the RTI Act

(II) Discussions with Secretaries of SICs

In a workshop on "Knowledge and Experience Sharing by Secretaries of Information Commissions" on 24 April 2010, the Secretaries pointed out that the lack of basic infrastructure

like an office building of its own has been a major constraining factor from operational point of view.

(III) Stakeholders' Views on Implementation of RTI

DoPT administered a questionnaire to know the efficacy of RTI implementation since its inception and also to elicit suggestions/recommendations from different stakeholders regarding future course of action to strengthen implementation of the RTI Act in the country. 145 stakeholders from different categories responded to this questionnaire. The main findings from the analysis of the results are as follows:

- a. Major constraints - poor record management, incomplete proactive disclosure, Lack of awareness, imposition of Fee, lack of training of supply side, lack of infrastructure, attitude of government officials, RTI as a public grievance redressal mechanism, and lack of education on filing of an RTI mechanism were major constraints.
- b. Need for training of PIOs, information seekers, publicity campaigns, more proactive disclosure, better record management and more infrastructure for public authorities.
- c. The respondents' vision for the RTI regime include having a direct link with good governance, citizen-centric administration and improvements in public service delivery and as leading to alleviation of deprivation of the marginalized, their empowerment, participatory democracy and a dignified life for all.

9.19 Based on the above a new scheme "Improving Transparency and Accountability for Effective implementation of the Right to Information' has been launched in 2010. The components of the present scheme to address the above key areas are:

- a) Awareness Generation which includes preparation of a long term communication strategy, Media plan, Organization of workshops, celebration of RTI Week, Innovative awareness generation programmes and an RTI Jankaar scheme.
- b) Simplification of processes of filing of RTI application through a call centre and a portal with e-payment facility.
- c) Institutional Mechanism for collaborative working CSOs and Media through consultation meetings of National RTI Committee, RTI Fellowships and training of media.
- d) Capable PIOs and AAs through conduct of trainings at Central and state level; online certificate course; Knowledge Management and study tours.
- e) Streamlining of processes by conduct of workshops for sensitization of heads of public authorities; and setting up of RTI cells.
- f) Improved record management through conducting a study.
- g) Infrastructure support to SICs through construction of buildings
- h) Capacity building of Information Commissioners.

9.20 Progress under the present scheme

- a) The department is in the process of preparing a long term communication strategy for RTI and has in October 2010 launched the LOGO for RTI. This needs to be rolled out with proper media support and NFDC is collaborating with the Department on this. The RTI week is celebrated every year and the SICs are supported by the Central Government and guidelines have been issued.
- b) The Detailed project report for the call Centre and Portal is ready and this will be operationalized the next year.
- c) Guidelines for Trainings of PIOs and other stakeholders by the Administrative Training Institutes have been issued. All districts in states are being covered.
- d) Fellowships for RTI have been launched and training media personnel is scheduled to be conducted by the Indian Institute of Mass Communication, Delhi.
- e) An RTI cell has been set up in DoPT and once the concept stabilizes, other Ministries would be encouraged to do the same.
- f) The National Law School University of India at Bangalore is scheduled to conduct a training course for newly Inducted Information Commissioners.

9.21 The State Governments may make earnest efforts to implement the RTI Act in their States.

9.22 Adoption of Integrity Pact in major procurements.

To eradicate corruption from public procurements the Central Vigilance Commission has been emphasizing on the introduction of the Integrity Pact in large valued contracts in all Govt. organizations. This pact envisages a pre-bid agreement between the buyer and the seller to avoid all forms of corrupt influence by any person from the bidding stage to the last payment in the contract, thereby ensuring transparency during the entire currency of the contract. The Integrity Pact envisages appointment of an Independent External Monitors of repute to oversee the implementation of the Pact and to examine any complaint relating to violation of the Pact. The Integrity Pact is part of the contract and is a pre-requisite that a bidder has to sign with the seller before submitting the bid.

All State Governments have been advised vide letter No.372/13/2009-AVD-III dated 16th June, 2009 to consider adoption of Integrity Pact in respect of State Public Sector Enterprises.

9.23 The State Governments may make earnest efforts adopt Integrity Pact in major procurements.

Flagship Programmes - Areas of Concern

Rajiv Gandhi Grameen Vidyutikaran Yojana
(RGGVY)

Ministry of Power
Government of India

Issues likely to be raised by States

- a) Electrification of balance villages/ majras/tolas/habitation: Present allocation under RGGVY (Rs. 33000 Crore) has already been committed and as such no more projects can be sanctioned. Ministry of Power has requested Planning Commission for permission to sanction additional projects of Rs. 6000 Crore. If permitted, Ministry will sanction projects worth Rs. 6000 Crore. States will have to submit DPRs on actual survey basis and have to ensure that the projects are completed within the sanctioned cost; if not, state will have to bear the extra cost. In case, Planning Commission does not permit, states will have to wait for XII Plan.
- b) Burning of Distribution Transformers/provision of bigger capacity transformers: Under RGGVY, high voltage distribution system (HVDS) has been adopted. HVDS helps in reducing technical loss and is also helpful in reducing theft and pilferages. Here, 11kv HT lines are taken near to the households and one small transformer is provided for each cluster of households, whereas in the conventional distribution system only one bigger transformer is provided for the whole village and also for surrounding hamlets. The supply is of better quality also under HVDS.

The complaint about inadequacy of transformer capacity is mainly coming from Bihar. Unauthorized connections from the transformers have been taken by the villagers, which is resulting in transformer burning because of overloading. State utility and state Govt. have not been very effective in arresting the theft of electricity. For checking the theft of electricity and the materials, establishment of franchisees in RGGVY villages has been made mandatory. However, franchisee has not been established in any of the RGGVY village in Bihar. Ministry of Power has asked the Bihar Government in February 2010 for submitting supplementary DPRs for erection of more transformers, wherever required in the sanctioned villages under RGGVY. However, no DPR has been received from the state so far.
- c) Provision for Agriculture connections under RGGVY: RGGVY scheme is basically for providing rural electricity distribution backbone (REDB) for domestic connections only. It does not envisage connections for agriculture or commercial purpose. States may extend/strengthen the infrastructure provided under RGGVY and use it for releasing agriculture/commercial connections.

Issues of Ministry

- a) Delay in handing over of land for new substations: Land for construction of new substations is to be handed over to the contractor within 3 months of award of the project. However, land for 7 substations under X Plan projects is yet to be handed over (Bihar: 5, Nagaland: 2). Similarly, land for 49 substations is yet to be handed over for XI Plan projects (Bihar: 39, Chhattisgarh: 1, Jharkhand: 1, Manipur: 4, West Bengal: 4). State wise status is at Annexe I.
- b) Delay in energization of electrified villages: Though, 89,675 villages have been electrified, only 73,678 villages have been energized as on 31/12/10. Balance 15,977 villages need to be energized on priority. Major gap is in the states of Assam, Bihar, Jharkhand and Orissa. State wise status is enclosed. Status is at Annexe II.

- c) Non-availability of sub-transmission system in Jharkhand: The state transmission and sub-transmission system is very poor and not suitable to supply electricity to the newly electrified villages under RGGVY, especially in Chatra and Simdega districts of Jharkhand. Short- term measures as suggested by CEA have also not been completed by the state. DVC has reported that 200 villages cannot be energized due to non-availability of suitable sub-transmission system in these two districts. REC has sanctioned loan of about Rs. 1000 Crore for strengthening of ST&D system in the state. However, state has not lifted the loan.
- d) Establishment of franchisees: The franchisee establishment is considered essential for commercial viability of rural electrification. Therefore, under RGGVY, it has been made mandatory to establish franchisees in villages electrified under RGGVY. Though, 2.6 lakh villages (UEV+EV) have been electrified under RGGVY, franchisees have been appointed in only 66,646 RGGVY villages. States of Arunachal, Bihar, Himachal, Jharkhand, J&K, Kerala, Mizoram, Manipur, Nagaland, Orissa, Sikkim, Tripura and Tamilnadu have not yet appointed franchisees in any of the RGGVY village. Details are enclosed at Annexe III.
- e) Delay in forest clearances/ delay in deposition of NPV by JSEB: 53 cases were submitted by DVC for forest clearance in Jharkhand. There was abnormal delay in depositing NPV by JSEB, which has delayed the clearance from forest deptt. NPV (Rs. 12.86 Crore) is yet to be deposited by JSEB for 7 cases pending from September/October 2010.
- f) Notification of RE Plan: As per the conditions of RGGVY, States were to notify their RE Plans by August 2008. However, states of Andhra Pradesh, Bihar, Jharkhand, Haryana, J&K, Karnataka, Kerala, Manipur, Punjab, Rajasthan, Sikkim, Tripura and Uttarakhand have not yet notified their RE Plans.
- g) Slow progress by State Utilities in village electrification: State utilities were given a target of electrification of 5758 villages for first 3 quarters of 2010-11. They have electrified 3362 villages (58%) by 31st Dec. 2010. Most of the State utilities, especially of Arunachal Pradesh, Bihar, Himachal, Jharkhand, J&K, Karnataka, Manipur, Mizoram, Nagaland, Rajasthan and Tripura have shown slow progress. The details are at Annexe IV.
- h) Slow progress by State Utilities in releasing BPL connections: State utilities were given a target of releasing 26.09 lakh BPL connections for first 3 quarters of 2010-11. They have achieved 20.43 lakh (78%) by 31st Dec. 2010. Most of the State utilities, especially of Bihar, Himachal, Jharkhand, J&K, Manipur, Rajasthan and Tamilnadu have shown slow progress. The details are at Annexe V.

Status of Land hand over for construction of
substations under RGGVY

Sl.	State	X Plan		XI Plan		Total	
		Substation (no.)	Land not handed over	Substation (no.)	Land not handed over	Substation (no.)	Land not handed over
1	Andhra Pr.	8	0	3	0	11	0
2	Arunachal Pr.	2	0	17	0	19	0
3	Assam	6	0	25	0	31	0
4	Bihar	90	5	81	39	171	44
5	Chhattisgarh	0	0	10	1	10	1
6	Gujarat	0	0	0	0	0	0
7	Haryana	0	0	0	0	0	0
8	Himachal Pr.	1	0	0	0	1	0
9	J&K	4	0	16	0	20	0
10	Jharkhand	61	0	46	1	107	1
11	Karnataka	0	0	1	0	1	0
12	Kerala	0	0	0	0	0	0
13	Madhya Pr.	4	0	0	0	4	0
14	Maharashtra	0	0	3	0	3	0
15	Manipur	2	0	9	4	11	4
16	Meghalaya	0	0	5	0	5	0
17	Mizoram	1	0	3	0	4	0
18	Nagaland	2	2	8	0	10	2
19	Orissa	1	0	29	0	30	0
20	Punjab	0	0	0	0	0	0
21	Rajasthan	2	0	0	0	2	0
22	Sikkim	0	0	0	0	0	0
23	Tripura	1	0	7	0	8	0
24	Tamilnadu	0	0	0	0	0	0
25	Uttar Pr.	203	0	0	0	203	0
26	Uttarakhand	6	0	0	0	6	0
27	West Bengal	10	0	9	4	19	4
	Total	404	7	272	49	676	56

Status of Village Energization and Taking Over

Sl. No.	State	Villages Electrified	Village Energized	Villages yet to be energized	Village T/Over
1	Andhra Pr.	0	0	0	0
2	Arunachal Pr.	441	294	147	81
3	Assam	4602	2890	1712	2723
4	Bihar	20184	16772	3412	13139
5	Chhattisgarh	100	90	10	77
6	Gujarat	0	0	0	0
7	Haryana	0	0	0	0
8	Himachal Pr.	13	0	13	0
9	J&K	106	33	73	33
10	Jharkhand	15563	10515	5048	5708
11	Karnataka	59	34	25	0
12	Kerala	0	0	0	0
13	Madhya Pr.	238	238	0	233
14	Maharashtra	0	0	0	0
15	Manipur	204	161	43	0
16	Meghalaya	150	148	2	145
17	Mizoram	25	0	0	0
18	Nagaland	50	43	7	43
19	Orissa	10920	6148	4772	4452
20	Punjab	0	0	0	0
21	Rajasthan	3524	3524	0	3159
22	Sikkim	14	0	0	0
23	Tripura	56	2	54	0
24	Tamilnadu	0	0	0	0
25	Uttar Pr.	27757	27293	464	26543
26	Uttarakhand	1503	1452	51	1452
27	West Bengal	4166	4041	125	3902
	TOTAL	89675	73678	15997	61690

Status of Establishment of Franchisees

Sl. No.	STATE	Villages Electrified under RGGVY			Franchisee Established		
		Un-Electrified	Intensively Electrified	Total	RGGVY Villages	Other Villages	Total
1	2	3	4	5	6	7	8
1	Andhra Pr.	0	21793	21793	7052	1018	8070
2	Arunachal Pr.	441	391	832			0
3	Assam	4602	6905	11507	441	3361	3802
4	Bihar	20184	2625	22809		8341	8341
5	Chattisgarh	100	7730	7830	1010		1010
6	Gujarat	0	6230	6230	16592		16592
7	Haryana	0	2139	2139	6237		6237
8	Himachal Pr.	13	1059	1072			0
9	J & K	106	1564	1670			0
10	Jharkhand	15563	4550	20113			0
11	Karnataka	59	22959	23018	19976		19976
12	Kerala	0	37	37			0
13	Madhya Pr.	238	9495	9733	280		280
14	Maharashtra	0	20505	20505	4052		4052
15	Manipur	204	204	408			0
16	Meghalaya	150	997	1147	71		79
17	Mizoram	25	150	175			0
18	Nagaland	50	243	293		552	552
19	Orissa	10920	12400	23320		8406	8406
20	Punjab	0	0		0		0
21	Rajasthan	3524	23769	27293	36	134	170
22	Sikkim	14	284	298			0
23	Tamil Nadu	0	4862	4862			0
24	Tripura	56	194	250			0
25	Uttar Pradesh	27757	2763	30520	3745	15549	19294
26	Uttarakhand	03	8652	10155	62	382	444
27	West Bengal	4166	7519	11685	7092	6170	13262
	Total	89675	170019	259694	66646	43921	110567

Target & Achievement of State Utilities for
Village Electrification during 2010-11 (upto 3rd Quarter)

Sl. No.	Name of State	Implementing Agency	Targets 2010-11 (upto 3rd Qtr)	Achievement	% Achievement
1	Assam	ASEB	1902	2053	107.9%
2	Bihar	BSEB	1672	247	14.8%
3	Jharkhand	JSEB	350	32	9.1%
4	Arunachal Pradesh	Power Deptt.	540	226	41.9%
5	Himachal Pradesh	HPSEB	50	13	26.0%
6	Jammu & Kashmir	Power Deptt	34	16	47.1%
7	Karnataka	DISCOMs	25	1	4.0%
8	Madhya Pradesh	State Discoms	125	149	119.2%
9	Manipur	Power Deptt	109	76	69.7%
10	Meghalaya	MeSEB	12	13	108.3%
11	Mizoram	Power Deptt	55	25	45.5%
12	Nagaland	Power Deptt	50	36	72.0%
13	Rajasthan	State Discoms	785	433	55.2%
14	Sikkim	Power Deptt	7	14	200.0%
15	Tripura	TSECL	42	28	66.7%
	Total		5758	3362	58.4%

Target & Achievement of State Utilities for BPL connections
during 2010-11 (upto 3rd Quarter)

Sl. No.	Name of State	Implementing Agency	Target 2010-11 (upto 3rd Qtr.)	Acheivement (upto 3rd Qtr.)	% Acheivement
1	Assam	ASEB	271000	224551	82.9%
2	Andhra Pradesh	DISCOMs	132177	211237	159.8%
3	Arunachal Pradesh	Power Deptt	3000	5743	191.4%
4	Bihar	BSEB	263876	54777	20.8%
5	Gujarat	DISCOMs	172130	346725	201.4%
6	Haryana	DISCOMs	72000	83902	116.5%
7	Himachal Pradesh	HPSEB	300	179	59.7%
8	Jammu & Kashmir	Power Deptt	650		
9	Jharkhand	JSEB	150000	7823	5.2%
10	Karnataka	DISCOMs	39000	31627	81.1%
11	Madhya Pradesh	DISCOMs	140000	125465	89.6%
12	Maharashtra	DISCOMs	279552	313828	112.3%
13	Manipur	Power Deptt	3500	2745	78.4%
14	Meghalaya	MeSEB	8000	9199	115.0%
15	Mizoram	Power Deptt	3500	5833	166.7%
16	Nagaland	Power Deptt	1400	11520	822.9%
17	Punjab	PSEB	17000	26759	157.4%
18	Rajasthan	Total Discoms	214400	126774	59.1%
19	Sikkim	Power Deptt	1000	5155	515.5%
20	Tamil Nadu	TNEB	200663	115044	57.3%
21	Tripura	Power Deptt	5000	13216	264.3%
22	Uttarakhand	UPCL	6000	16891	281.5%
23	West Bengal	WBSEB	625000	304248	48.7%
	TOTAL		2609148	2043241	78.3%

Renewable Energy Development in India: Issues for Consideration

Ministry of New and Renewable Energy
Government of India

The Ministry of New and Renewable Energy (MNRE) has been facilitating the implementation of broad spectrum of programmes including harnessing renewable power, renewable energy to rural areas for lighting, cooking and motive power, use of renewable energy in urban, industrial and commercial applications and development of alternate fuels and applications. In addition, it supports research, design and development of new and renewable energy technologies, products and services. The extension programmes of the Ministry are largely implemented through the State Renewable Energy Development Agencies. These agencies, in turn, mobilize participation of the State level machinery, local institutions, Non- Governmental Organizations (NGOs) and village level organizations for implementation of these programmes. However, increasingly the channels are being opened out to move in market mode through other partners.

A paper '*Renewable Energy in India: Progress, Vision and Strategy*' providing background of the present status of renewable energy development including policy framework is placed in the conference folder. The paper is also available at the Ministry of New and Renewable Energy website (<http://www.mnre.gov.in/pdf/mnre-paper-direc2010-25102010.pdf>).

There are issues that hinder the progress of deployment of renewables and many of these issues pertain to the implementation methodologies, creating enabling environment for accelerating deployment of these technologies. Some of the major issues that require immediate attention of the highest executive level in the States are as follows:

1. Remote Villages Electrification Programmes

Vide D.O. letter No. 13/3/2009-10/RVE dated 19th October 2010, the Chief Secretaries of State Governments were requested to send proposals in respect of the eligible villages/habitats not to be covered under Rajiv Gandhi Gramin Vidyutikaran Yojana (RGGVY) by the MNRE and falls within the above stated regions. It is once again requested that the State Governments may send proposals for such villages particularly with reference to LWE (Left Wing Effected) districts. Assam and Orissa have to pay special attention for sanctioned projects and for proposals to come. Chief Secretaries have been requested to send proposals for villages which are not going to be immediately covered under RGGVY.

2. Off-grid Solar Application under Solar Mission

The Ministry has launched Jawaharlal Nehru National Solar Mission (JNNSM) and set a target of 2000 MW equivalent of off-grid solar applications including 20 million solar lighting systems by 2020 to be implemented in three phases. Government has approved a target of 200 MW equivalents of off-grid solar applications including 2 million lighting systems by March, 2013. During the first year of the first phase of JNNSM, the MNRE has sanctioned SPV systems and standalone power plants of capacity aggregating to 34 MW upto 19 January 2011. The Ministry is providing 30% subsidy and/or loan at an annual

interest rate of 5% to the beneficiaries through State Nodal Agencies, Central and State Government Organizations, Public Sector Undertakings, reputed NGOs, NABARD, etc. Solar lanterns and Solar Home Lighting Systems have been sanctioned for people living in border villages in Uttarakhand and Himachal Pradesh, Jammu & Kashmir, Meghalaya and Rajasthan. SPV Street Lighting Systems have been sanctioned for Ambedkar and other villages in Uttar Pradesh, large number of villages in Haryana especially in Sirsa district, Himachal Pradesh, Madhya Pradesh and Uttarakhand. Ministry has also sanctioned a large number of standalone power plants in the capacity range of 1-100 kWp for meeting the electrical requirements of tribal hostels, educational institutions, paramilitary forces, hospitals, banks, police stations, temples, forest check posts, charitable institutions, anganvadi centres, border outposts, villages, ashrams, telecom towers, commercial organizations and industries. These either provide lights or reduce diesel consumption. The Ministry has taken up a project of 1,12,000 solar lighting systems through NABARD whereby it is providing 30% subsidy and loan at annual interest rate of 5% to individual beneficiaries.

In the aforesaid context, the State governments are requested to take fullest advantage of the provision of off-grid solar programmes of MNRE.

3. Solar Water Heaters

It is important that we try to reduce electricity demand by using solar water heaters. The States are requested to advise all Municipal Corporations and Urban Local Bodies to amend building bye-laws to make the use of solar water heating systems mandatory in certain category of new buildings. Plan of buildings to be approved only if provision for solar water heating is included. All existing hotels, hospitals, educational institutions with hostel facilities, guest houses, community kitchens, residential complexes, individual houses etc. requiring hot water for various uses to be instructed to install these systems. Builders and Developers also need to be instructed to integrate solar water heaters in all new building construction. A note in this respect is enclosed at annexure-1.

4. Green Buildings

It has been decided that all new buildings of Central Government and public sector undertakings should achieve at least a GRIHA-3 Star Rating, though they should aim at a 4-Star Rating. States may like to take similar decisions. CPWD has adopted GRIHA as their reference for Green Building Design and Construction and the Works Manual of CPWD is being updated to facilitate Green Building construction. State Governments should take a similar decision. Developers must also be sensitized to build such buildings this is an area of great importance. The States Government are requested to draft Bye-laws to make it essential that all Builders and Architects design the buildings to meet at least the requirements of GRIHA 3 Star, though every effort should be made by them to achieve higher Star rating wherever site conditions permit to do so. Institutional buildings must also do so. A note in this respect is enclosed at annexure-2.

5. Small Hydro Power

In order to accelerate the pace of small hydro development the following are the specific areas of action for the State Governments:

- I. It is important that each State review the status and expedite various clearances for setting up new small hydro power projects should be provided in a time bound manner by the Departments concerned such as Environment, Forest, Irrigation and Electricity Department etc;
- II. Power evacuation facilities must be synchronized with commissioning of the small hydro project. Hitherto it has been common practice that the plants are ready in all respect but generation suffers due to lack of evacuation facilities. In this context, States should have a systematic plan to offer evacuation and transmission of power closely linked with progress in projects;
- III. Proper resource assessment is the bottom line for setting up right capacity power plant. Therefore, the States should aim for collecting hydrological data in a systematic manner so that new sites could be offered to Developers;
- IV. The pace of implementation of projects can be increased by project wise monitoring. Accordingly, the States are requested to have the Project Monitoring System in place to monitor the key components/ milestones leading to completion of the Projects and thereafter;
- V. Traditionally, mechanical application of hydro power has been quite common in the Himalayan region. In order to harness potential for such applications in accelerated manner, the States are requested to identify sites for setting up/ upgradation of water mills and submit proposals for financial assistance.

6. Wind Power

It has been observed that progress in Rajasthan and Gujarat has been good in recent years. Karnataka has to sort out land and forest clearance issues. Progress in Andhra Pradesh is poor and it needs attention. Maharashtra should also improve. Tamil Nadu has done the best. More can be done. State should facilitate this.

States having wind potential and ongoing wind power development activity are requested to undertake the following actions:

- I. Take action to get the old allocated projects either initiated or surrendered so that potential windy locations are not blocked indefinitely;
- II. Grant speedy clearances for execution of wind power projects;
- III. Augment Grid in potential windy locations and facilitate timely availability of evacuation facilities;
- IV. Develop infrastructure for facilitating transportation of Wind Turbine Equipment particularly Blades;
- V. Arrange for timely payment of tariff for wind power

7. Biogas

The Ministry has been making efforts to increase coverage and aims at adding 2 million additional plants by 2022. Attempt is to do 2 lakh plants annually. Whereas some States are making satisfactory progress, the States of UP, Bihar and Haryana need to make special plans and strategies to do more biogas plants.

Inputs on Solar Water Heating for Chief Secretary's Meeting

The techno-economic potential for solar water heating systems in India has been estimated at 40 million sq.m. About 4.0 million sq. m. of collector area has so far been installed in the country for solar water heating. There are 66 BIS approved manufacturers of solar water heating systems based on flat plate collectors (FPC) and 82 MNRE approved suppliers of evacuated tube collector (ETC) based systems.

Solar water heaters are also an integral part of the Jawaharlal Nehru National Solar Mission. It has ambitious targets to achieve 20 million m² of collector area of SWHS by the year 2022 with incentives like capital subsidy and soft loans. The implementation would be through various channel partners like renewable energy service providing companies, financial institutions/aggregators, system integrators, NGOs, and various central/state government departments/agencies.

A model regulation/building bylaw for mandatory installation of SWHS in new buildings was circulated by the Ministry of Urban Development to all States and Union Territories with a request for onward circulation to all local bodies for incorporation in their building bye-laws. 98 municipal corporations/municipalities have so far amended their building bylaws. A few municipal corporations are providing 6%10% rebate in the property tax for users of solar water heaters. Many of the utilities are providing rebate in electricity bills to the users as well. India's Energy Conservation Building Code has SWHS among the building components covered under it.

While SWHS have become popular in several States such as Karnataka and Maharashtra and in cities such as Bangalore and Pune, efforts are being made to extend their coverage. A special programme is being grown up to meet the solar water heating requirements for various end-uses in the Ladakh region. Efforts are also being made to promote solar water heating systems in hotels, hospitals and in industrial and commercial establishments besides incorporation of solar water heating systems in new buildings.

All Municipal Corporations and Urban Local Bodies should be advised to amend building bye-laws to make the use of solar water heating systems mandatory in certain category of new buildings. Plans of buildings to be approved only if provision for solar water heating are included. All existing hotels, hospitals, educational institutions with hostel facilities, guest houses, community kitchens, residential complexes, individual houses etc requiring hot water for various uses to be instructed to install these systems. Builders and Developers also need to be instructed to integrate solar water heaters in all new building construction.

Inputs on Green Buildings for Chief Secretary's Meeting

The Green Building concept involves minimum depletion of natural resources during construction and operation; minimizes the demand on fossil fuel based energy; and, maximizes recycling, reuse and deployment of renewable energy and energy efficient devices & appliances. To promote the green building concept, the Ministry, in association with TERI, has developed GRIHA - Green Rating for Integrated Habitat Assessment as a National Rating System for promotion of energy efficient green buildings in the country.

GRIHA is an integrated framework for ensuring design, construction, operation and rating of green buildings. GRIHA not only incorporates the Energy Conservation Building Code (ECBC) as a mandatory provision but also promotes integration of passive, low energy strategies into building design, thus making energy efficient buildings more cost effective. Renewable energy integration is mandated under GRIHA.

The GRIHA framework has 100 points distributed across 34 criteria with rating ranging from one star to five stars. A GRIHA 3 star rated building aims at being 40-50% more energy efficient than a conventional building and 8-10% more efficient than an ECBC compliant building. In addition, such a building can save water upto 25-50% over a conventional building, along with segregation of waste and generation of energy from solid waste.

108 projects have already been registered for GRIHA Rating with a built-up area of nearly 12.4 million sq.m. These include 73 Government projects. It has been decided that all new buildings of Central Government and public sector undertakings should achieve at least a GRIHA-3 Star Rating, though they should aim at a 4-Star Rating. States may like to take similar decisions. CPWD has adopted GRIHA as their reference for Green Building Design & Construction and the Works Manual of CPWD is being updated to facilitate green building construction.

A large number of new townships, special economic zones and educational campuses are being planned or constructed around the country. In order to foster green and sustainable habitats, the Ministry has initiated the development of Guidelines and Benchmarks for Green Large Area Developments covering neighborhoods, educational & institutional campuses, special economic zones, townships etc. Apart from this, a simple, versatile and affordable version of GRIHA is being developed, particularly for the unorganized construction sector, to facilitate the common man to build a green home using a web-enabled process 'Swa-GRIHA'.

Considerable trained manpower will be required to implement green building design and rating in the country. While 600 building professionals have already been trained, a comprehensive capacity building and awareness programme is on the anvil to promote green buildings. Regional set ups are also planned in association with local Governments, educational institutes and NGOs for deeper penetration of the green building movement in different parts of the country. CPWD has embarked on a nation-wide capacity building drive for its officers. MNRE can facilitate similar training of government officers in State departments and agencies engaged in building construction.

Pradhan Mantri Gram Sadak Yojana
(PMGSY)

Ministry of Rural Development
Government of India

Pradhan Mantri Gram Sadak Yojana (PMGSY) was launched on 25th December, 2000 as a fully funded Centrally Sponsored Scheme to provide all weather road connectivity in rural areas of the country. Primary objective of PMGSY is to provide single all weather connectivity to eligible unconnected habitations having population of 500 persons and above in plain areas and 250 persons and above in hill States, the Tribal (Schedule-V) areas, Desert Areas (as identified in the Desert Development Programme) and Left Wing Extremism (LWE) affected districts as identified by Ministry of Home Affairs.

Total 1,68,268 habitations were eligible for coverage under the programme, out of which 31,804 habitations have been reported either connected under other schemes or not feasible. Therefore, 1,36,451 habitations were targeted for providing road connectivity under PMGSY. The programme also has an 'Upgradation' component with a target to upgrade 3.68 lakh km. of existing rural roads (including 40% renewal of rural roads to be funded by the State) in order to ensure full farm to market connectivity.

Since inception, about 4.19 lakh km roads to benefit 1,07,974 habitations have been cleared with an estimated cost of Rs.1,18,298 crore. A sum of Rs.76,974 crore has been released to the States and about Rs.74,769 crore has been spent. So far, 3,00,786 km. road length has been completed and new connectivity has been provided to 73,907 habitations. The work on a road length about 1,18,205 km. is in full swing. State-wise details at Annexure-I & II.

Rural Roads has been identified as one of the six components of Bharat Nirman and has set a goal to provide connectivity to all villages with a population of 1000 (500 in the case of hilly or tribal areas) with all-weather road by 2012. A total 54,648 habitations is proposed to be provided new connectivity under Bharat Nirman. This would involve construction of 1,46,185 km. of rural roads. In addition to new connectivity, Bharat Nirman envisages upgradation/renewal of 1,94,131 km. of existing rural roads. Upto December, 2010, 38,320 habitations have been connected by constructing 1,13,860 km. rural roads. Besides, projects for connecting 15,250 habitations are at different stages of completion and 2,15,015 km. of existing rural roads have been upgraded/renewed against the target of 1.94 lakh km. State-wise details at Annexure-III & IV.

During the year 2010-11, under the Programme, upto December, 2010 about 26,388 km all-weather road has been completed and expenditure of Rs.9,128.97 crore has been incurred. New connectivity has been provided to 3527 habitations. State-wise details at Annexure-V.

Details of year-wise release of funds under PMGSY since inception is at Annexure-VI.

Implementation of PMGSY in the States, has been affected due to following reasons:

- Inadequate institutional arrangements in some of the States.
- Limited contracting capacity in some States.
- Non availability of sufficient qualified technical personnel including engineers with the contractors.

- Limited working season and adverse climate conditions.
- Unfavourable weather conditions i.e. very long rainy reasons/flood.
- Non availability of construction materials in the locality etc.
- Non-availability of land.
- Due to lack of forest clearances.

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- Non availability of construction materials in the locality etc.
- Non-availability of land.
- Due to lack of forest clearnces.

Statement showing Physical & Financial progress under PMGSY (Phase - I to IX+ ADB/WB)

(Rs. In crore, Length in Km)

#	States	Value of proposals cleared	Amount Released (Upto 31.12.2010)	No. of road works	Length of road works	No. of road works completed (upto Dec'10)	Length of road works completed (upto Dec'10)	% completed road works (upto Dec'10)	% Length Completed (upto Dec.10)	Exp. upto Dec'10	% Exp. to Amount released (upto Dec'10)
	2	3	4	5	6	7	8	9	10	11	12
1	Andhra Pradesh	4541.74	3338.64	6481	21335.88	5892	18700.63	88.19	88.48	3246.05	97.23
2	Arunachal Pradesh	2075.27	972.08	782	4362.63	476	2752.41	60.87	63.09	933.14	95.99
3	Assam	8798.22	5023.66	4643	15900.62	1872	9143.36	40.32	57.50	4782.21	95.19
4	Bihar (RWD)	8590.99	3022.67	5788	18972.34	1026	2495.95	17.73	13.16	1763.09	58.33
5	Bihar (NEA)	8354.57	3836.96	3428	18972.88	1322	8634.77	38.56	45.66	3835.29	99.96
6	Chattisgarh	6465.95	4632.43	5320	25508.58	3876	17779.40	72.86	69.70	4447.36	96.01
7	Goa *	9.72	10.00	90	178.16	72	158.70	80.00	89.08	5.32	53.20
8	Gujarat	1421.86	1091.39	3082	7908.57	2743	6940.90	89.00	87.76	1192.49	109.26
9	Haryana #	1517.96	1192.97	420	4589.33	362	4156.87	86.19	90.58	1173.25	98.35
10	Himachal Pradesh	2419.93	1534.38	2100	12166.15	1422	9072.72	67.71	74.57	1472.95	96.00
11	Jammu & Kashmir	3706.18	1143.91	1379	7011.14	382	1861.93	27.70	26.56	878.62	76.81
12	Jharkhand	2987.72	1685.97	2590	11446.08	1010	5663.69	39.00	49.48	1561.46	92.61
13	Karnataka	3197.83	2651.07	3204	16338.47	2794	12849.89	87.20	79.62	2863.73	108.02
14	Kerala	975.01	488.32	1173	2710.49	570	1153.65	48.59	42.56	435.94	89.27
15	Madhya Pradesh	13280.47	9510.28	12271	55288.07	9139	40608.04	74.48	73.45	9534.90	100.26
16	Maharashtra	5387.93	3920.31	5310	23216.67	4109	17129.14	77.38	73.78	3982.87	101.60
17	Manipur	868.38	411.66	1023	3160.78	666	2327.96	65.10	73.65	449.98	109.31
18	Meghalaya	313.88	223.14	409	1100.56	348	881.45	85.09	80.09	186.58	83.62
19	Mizoram	708.27	471.47	191	2487.16	112	1817.77	58.64	73.09	440.79	93.49
20	Nagaland	376.96	349.93	249	2674.87	229	2618.48	91.97	97.89	335.44	95.86
21	Orissa	9933.49	6447.33	7519	29283.83	4420	17529.60	58.78	59.86	6607.25	102.48
22	Punjab	1799.31	1306.09	797	4997.13	704	4358.76	88.33	87.23	1339.42	102.55
23	Rajasthan	8917.44	7547.40	11714	50872.66	1252	47427.58	96.06	93.23	7400.50	98.05
24	Sikkim	764.85	500.25	380	2893.97	174	2325.14	45.79	80.34	444.41	88.84
25	Tamil Nadu	2035.70	1373.71	4970	10053.99	4403	8577.65	88.59	85.32	1393.89	101.47
26	Tripura	1566.23	935.30	959	3050.98	597	1644.84	62.25	53.91	960.23	102.67
27	Uttar Pradesh	10238.59	9443.37	15932	41944.82	14705	38908.46	92.30	92.76	9070.24	96.05
28	Uttarakhand	1559.00	719.84	750	5689.72	363	3131.38	48.40	55.04	734.84	102.08
29	West Bengal	5384.23	3140.40	2683	15064.78	1715	10066.50	63.92	66.82	3282.36	104.52
	Grand Total	118197.69	76924.88	105837	418721.31	76755	300717.62	72.52	71.82	74754.60	97.18
	Union Territories										
30	A & N Islands	32.39	10.59	18	0	0				0.26	2.46
31	Dadra & Nagar Haveli	36.78	13.84	156	181.97	0				0	0.00
32	Daman & Diu	10.00	10.00	0	0	0				4.94	49.40
33	Delhi	5.00	5.00	1	0	0				0	0.00
34	Lakshadweep		4.89	0	0	0					0.00
35	Pondicherry	11.58	5.00	78	87.92	77	68.53	98.72	77.95	9.30	186.00
	Total (UTs)	100.64	49.32	253	269.89	77	68.53	30.43	25.39	14.50	29.40
	Grand total	118298.33	76974.20	106090	418991.20	76832	300786.15	72.42	71.79	74769.10	97.14

Figures upto Dec'10 (In Bold letter)

* No report after Mar'09. # Fig. upto Oct'10

18/01/2011

Habitations Cleared & Connected under PMGSY upto Dec'10

No.	States	Habitations cleared upto Dec'10	Habitations connected upto Dec'10	Remark
1	2	3	4	5
1	Andhra Pradesh	1564	1168	
2	Arunachal Pradesh	350	230	
3	Assam	8426	5939	
4	Bihar (RWD & NEA)	16628	4084	
5	Chattisgarh	7773	5729	
6	Goa *	20	2	
7	Gujarat	2532	2181	
8	Haryana	1	1	
9	Himachal Pradesh	2382	1835	
10	Jammu & Kashmir	1777	740	
11	Jharkhand	5275	2219	
12	Karnataka	269	269	
13	Kerala	435	353	
14	Madhya Pradesh	11817	9812	
15	Maharashtra	1203	996	
16	Manipur	386	150	
17	Meghalaya	189	140	
18	Mizoram	162	108	
19	Nagaland	91	81	
20	Orissa	8728	5423	
21	Punjab	418	406	
22	Rajasthan	10850	10412	
23	Sikkim	296	142	
24	Tamil Nadu	1942	1921	
25	Tripura	1694	1013	
26	Uttar Pradesh	11367	11013	
27	Uttarakhand	1009	506	
28	West Bengal	10390	7034	
Grand Total		107974	73907	

Figures upto Dec'10 (In Bold letter), * No report after Mar'09

18/01/2011

Monthly Progress of Bharat Nirman Programme during 2010-11 - Roads Component

Progress for the Month ending Dec'10

Habitation							
Sno.	State	Target Habitations during 2010-11	Habitations connected upto Nov'10	Habitations connected during Dec'10	Total Habitations connected during 2010-11	Total Habitations connected upto 2009-10	Total upto date
1	2	3	4	5	6	7	8
1	Andhra Pradesh	100	92		92	74	166
2	Arunachal Pradesh	10	4		4	53	57
3	Assam	250	282	72	354	3721	4075
4	Bihar(RWD)	300	110		110	1351	1461
	Bihar(NEA)	480	420		420	1594	2014
5	Chhattisgarh	100	76		76	3558	3634
6	Goa *					2	2
7	Gujarat	50	35	34	69	1091	1160
8	Haryana	0	0		0	0	0
9	Himachal Pradesh	50	27		27	588	615
10	Jammu & Kashmir	50	35	13	48	544	592
11	Jharkhand	300	380		380	974	1354
12	Karnataka	0	0	0	0	17	17
13	Kerala	6	4	0	4	65	69
14	Madhya Pradesh	300	214		214	5985	6199
15	Maharashtra	10	0	0	0	276	276
16	Manipur	25	5	2	7	93	100
17	Meghalaya **	10				50	50
18	Mizoram	15	8	5	13	39	52
19	Nagaland	5	3	0	3	29	32
20	Orissa	400	146	24	170	3853	4023
21	Punjab	0	0	0	0	50	50
22	Rajasthan	12	0	4	4	2966	2970
23	Sikkim	15	8		8	93	101
24	Tamil Nadu	2	1		1	79	80
25	Tripura	60	16		16	445	461
26	Uttar Pradesh	60	42	6	48	3990	4038
27	Uttarakhand	40	17	16	33	296	329
28	West Bengal #	350	107		107	4236	4343
	Total	3000	2032	176	2208	36112	38320

Fig. upto Dec'10(in Bold Letter) * No report after Mar'09, ** No report dg the year.

Fig. upto Oct'10

18/01/2011

Progress of Bharat Nirman during 2005-12 - Roads Component
Progress ending Upto Dec'10

Length (in Km)

S.no.	State	New Connectivity (Km)		Upgradation (Km)			
		Target (2005-12)	Cummulative Achievement upto Dec'10	Target (2005-12)	Cummulative Achievement upto Dec'10		
					Upgradation	Renewal	Total
1	2	3	4	5	6	7	8
1	Andhra Pradesh	0.00	1744.90	8597.45	10101.81	2899.55	13001.36
2	Arunachal Pradesh	2118.75	663.27	0.00	0.00	0.00	0.00
3	Assam	13153.22	8008.49	6495.36	13.46	600.00	613.46
4	Bihar(RWD)	18946.31	1513.60	9295.21	113.35	0.00	113.35
	Bihar(NEA)		4314.68		2986.89	0.00	2986.89
5	Chhattisgarh	20574.80	11339.81	8449.48	922.90	2084.57	3007.47
6	Goa *	0.00	1.80	760.46	0.00	0.00	0.00
7	Gujarat	1710.03	2676.93	4528.99	2468.29	11394.17	13862.46
8	Haryana	0.00	44.80	3761.47	3230.00	2330.14	5560.14
9	Himachal Pradesh	2378.13	3745.96	4713.38	2052.67	3987.55	6040.22
10	Jammu & Kashmir	4416.43	1638.74	2936.08	120.71	953.00	1073.71
11	Jharkhand	7777.78	4677.34	6219.88	0.00	476.00	476.00
12	Karnataka	0.00	71.50	10294.12	8601.95	3694.02	12295.97
13	Kerala	0.00	155.14	2201.26	198.94	1097.07	1296.01
14	Madhya Pradesh	27561.61	24923.25	18627.45	8529.32	5580.29	14109.61
15	Maharashtra	0.00	1296.52	17337.46	11030.00	8245.13	19275.13
16	Manipur	1744.05	1039.46	0.00	353.74	0.00	353.74
17	Meghalaya **	543.88	220.61	1840.36	13.00	0.00	13.00
18	Mizoram	941.95	949.03	732.71	0.00	0.00	0.00
19	Nagaland	421.84	730.26	864.20	351.57	12.00	363.57
20	Orissa	9993.35	10570.23	14161.16	3509.15	3652.83	7161.98
21	Punjab	0.00	177.97	5070.62	2841.28	2016.92	4858.20
22	Rajasthan	11460.85	10376.43	13074.79	11852.00	12551.90	24403.90
23	Sikkim	419.17	836.93	433.07	26.20	0.00	26.20
24	Tamil Nadu	0.00	663.26	11114.50	4940.26	12589.45	17529.71
25	Tripura	1158.88	1192.97	1171.72	18.41	11.02	29.43
26	Uttar Pradesh	7794.96	9487.31	28523.11	16700.01	48453.00	65153.01
27	Uttarakhand	2848.56	2619.34	3443.46	34.55	1352.75	1387.30
28	West Bengal #	10220.81	8179.37	9482.96	23.07	0.00	23.07
	Total	146185.34	113859.88	194130.69	91033.53	123981.36	215014.88

Fig. upto Dec'10(in Bold Letter), * No report after Mar'09, ** No report dg the year.# Fig. upto Oct'10

18-Jan-11

Outcome Targets & Achievement 2010-11

S. No.	State	Length (Km)		No. of Habitations		Expenditure (Rs.in Cr)	
		Target for 2010-11	Length completed upto Dec'10	Target for 2010-11	Habitations connected upto Dec'10	Target for 2010-11	Expenditure upto Dec'10
1	2	3	4	5	6	7	8
1	Andhra Pradesh	2150	1646.54	200	224		355.75
2	Arunachal Pradesh	178	193.34	10	13		210.42
3	Assam	2008	1093.21	400	466		709.21
4	Bihar (RWD)	1838	314.99	360	120		435.09
5	Bihar (NEA)	2806	1094.50	550	519		720.31
6	Chattisgarh	906	941.54	124	216		164.31
7	Goa *	0	0.00	0	0		0.00
8	Gujarat	596	390.47	100	134		209.87
9	Haryana #	200	250.05	0	0		66.98
10	Himachal Pradesh	693	470.17	75	44		89.95
11	Jammu & Kashmir	367	451.78	75	65		128.45
12	Jharkhand	1482	1100.70	400	587		366.32
13	Karnataka	1000	1016.67	0	0		547.92
14	Kerala	156	125.73	6	6		75.92
15	Madhya Pradesh	4488	3253.10	400	305		823.44
16	Maharashtra \$	1292	2091.98	15	-87		716.27
17	Manipur	335	226.44	40	11		94.97
18	Meghalaya \$	64	0.00	15	-44		27.82
19	Mizoram	150	97.72	25	16		60.38
20	Nagaland	150	64.50	10	6		22.10
21	Orissa	3800	2557.90	450	318		1235.27
22	Punjab	500	618.88	0	0		145.66
23	Rajasthan	1700	2280.47	25	29		431.55
24	Sikkim	147	84.38	25	18		45.30
25	Tamil Nadu \$	1020	1711.00	10	-27		165.51
26	Tripura	400	91.46	75	49		128.69
27	Uttar Pradesh	3207	3187.99	150	167		701.51
28	Uttarakhand	320	271.25	60	45		96.82
29	West Bengal	2137	760.95	400	327		353.18
Grand Total		34090	26387.71	4000	3527		9128.97

Figures upto Dec'10 (In Bold letter). # Fig. upto Oct'10, Rest (Unbold) upto Nov'10

18/01/2011

* No Report received after Mar'09.

\$ State has connected achievement in previous year which is being adjusted during 2010-11.

Release of funds under PMGSY since inception

Sl. No.	Year	Released to the States (Rs. in crore)
1	2000 - 01	2,435.00
2	2001 - 02	2,496.88
3	2002 - 03	2,472.13
4	2003 - 04	2,314.33
5	2004 - 05	2,436.63
6	2005 - 06	4,190.59
7	2006 - 07	6,265.08
8	2007 - 08	10,903.83
9	2008 - 09	14,853.92
10	2009 - 10	16,899.82
11	2010 - 11	13,241.47*

* Release upto 24th January, 2011

Accelerated Irrigation Benefits Programme (AIBP)

Ministry of Water Resources
Government of India

1. Back Ground

The Accelerated Irrigation Benefits Programme (AIBP) extends financial assistance to the States for creation of irrigation potential by completion of identified ongoing irrigation projects. As per the present pattern of assistance under the AIBP, the Centre is providing grant to the works cost of irrigation projects as an incentive to the States for creating irrigation infrastructure in the country. The AIBP has to meet the demands of the Bharat Nirman programme under which a major thrust on irrigation is included. AIBP has also to provide assistance to the irrigation projects under the Prime Minister Package for agrarian distressed districts. A part of the funds are also earmarked for the scheme of National Projects for dedicated funding to the projects having international, interlinking and large irrigation potential aspects.

2. Accelerated Irrigation Benefits Programme (AIBP)

The AIBP was conceived in the year 1996 in order to provide financial assistance to States to complete various ongoing projects in the country so that envisaged irrigation potential of the project could be created and thereby extend irrigation to more areas. Since its formulation, the terms of the programme have been widened and liberalized over time. The last amendment in the guidelines of the AIBP was carried out in December 2006 with the approval of Union Cabinet. A copy of the AIBP guidelines effective from December 2006 is attached at Annex-A-I. Some of the important features of the guidelines are given below:

1. Major/medium projects including Extension Renovation & Modernization projects benefiting drought prone/tribal areas and flood prone areas are eligible for 90% grant assistance.
2. Major/medium projects in the Special Category States and projects in undivided Koraput, Bolangir and Kalahandi districts of Orissa are also eligible for 90% grant assistance.
3. Other major/medium projects are eligible for 25% grant assistance under AIBP.
4. Surface MI schemes fulfilling criteria specified in the guidelines of the Special Category States are eligible for 90% grant assistance and surface MI schemes of the non special category states fulfilling eligibility criteria and benefiting drought prone/tribal areas are also eligible for 90% grant assistance.
5. Maximum time allowed for completion of major/medium projects under AIBP is 4 years excluding the year of inclusion of the project under AIBP.
6. The maximum time allowed for completion of surface MI schemes under AIBP is 2 years excluding the year of inclusion of the scheme under AIBP.
7. The state governments are required to enter into an MOU with the Ministry of Water Resources for timely completion of the project specifying year wise targets of potential creation under AIBP.
8. A new major/medium project may be included in AIBP only on completion of an ongoing project under AIBP on one to one basis. However, projects benefiting drought

prone/tribal areas, projects in the states having irrigation development below national average and projects included in the Prime Minister's package for agrarian distressed districts of the Andhra Pradesh, Karnataka, Kerala and Maharashtra may be included in AIBP in relaxation to one to one criterion.

2.1 Coverage

As on date, major, medium and Extension, Renovation and Modernization (ERM) projects are eligible for Central Assistance under AIBP. The surface water minor irrigation schemes of Special Category States as well as such schemes satisfying specified criteria in Non-Special Category States are also eligible for Central Assistance under AIBP. ERM of minor irrigation projects is not covered under AIBP. The grants are provided for the Works component of the project and the establishment expenditure is not covered under the AIBP.

3. Prime Minister's Package For Agrarian Distressed Districts

3.1 Prime Minister's package for agrarian distressed districts of the Andhra Pradesh, Karnataka, Kerala and Maharashtra States includes 65 major/medium projects to be provided with grant assistance under the AIBP. The list of the projects included in the package is given at Annex-I in the AIBP guidelines enclosed at Annex-A-I of this Note. Of the total 65 projects, so far AIBP release proposals have been received in respect of 40 major/medium projects. Since 2006-07 till date, grant amounting to Rs.5155.11 crore has been released in respect of 40 projects of the package.

Proposals in respect of remaining projects are awaited from the State Governments.

There is no separate funding arrangement for the projects of PM package. However, as stated earlier, these projects may be included in AIBP in relaxation to one to one criteria of inclusion of new project under AIBP.

4. Performance of AIBP

So far, 283 major/ medium irrigation projects have been included under AIBP. 50 major/medium projects were completed during 96-97 to 2005-06 in 9 years (5.55 per year) and 74 projects completed during 2006-07 to 2009-10 in 3 years (24.7 per year) (5 more projects completed in 2010-11).

Irrigation potential of 37.09 lakh hectares created during 1996-97 to 2005-06 in 9 years @ 4.12 lakh ha per year and Irrigation potential of 22.30 lakh hectares created during 2006-07 to 2009-10 @ 7.44 lakh per year.

So far, 11704 Surface Water minor irrigation schemes have been included in the AIBP of which, 7987 schemes have been reported as completed. The ultimate irrigation potential of minor irrigation schemes included in AIBP is 11.92 lakh ha of which irrigation potential of 4.54 lakh ha has been created so far. The performance of completion has been quite satisfactory in respect of AIBP assisted minor irrigation schemes as these are having low gestation period.

Under AIBP, central assistance amounting to Rs.43, 539.9156 crore has been provided to the States so far.

5. Proposal for XI Plan

5.1 For XI Plan, total allocation proposed for AIBP is of Rs. 43,710 crore for targeted creation of irrigation potential of 58.46 lakh ha. Allocation proposed for National projects is Rs. 7000 crore. The Planning Commission has concurred for allocation of Rs. 39,850 crore during the plan period. The year wise details of the allocation proposed, allocation actually made available are given in the following table:

	XIth Plan Outlay	FY			
		2007 - 08	2008 - 09	2009 - 10	2010 - 11
Allocation proposed for AIBP	43710	8140	10200	12285	
Allocation provided	39850	3080	6600	8000*	9200
Actual releases under AIBP	-	5445.7	7598	6946	2214@
Potential created under AIBP	-	6.4 4	6.55	9.8	-
National Projects					
Allocation proposed	-	-	-	2000	-
Allocation provided	-	-	500	1800*	2200

*Rs.1800 crore provided for national projects is out of Rs.8000 crore provided for AIBP.

@ as on 12.1.2011

Ministry of Water Resources is consistently pursuing with Planning Commission and Ministry of Finance for increased allocation under AIBP.

6. Independent Evaluation of Aibp by Mospi (Ministry of Statistics & Programme Implementation)

MOSPI carried out evaluation of AIBP considering data upto September 2004.

MOSPI (Project Monitoring Division) in their Evaluation Study on AIBP have highlighted the great positive impact of minor irrigation schemes in North Eastern States.

The benefits have been observed as

- Increase in irrigated area,
- Increase in productivity
- Farmers motivated to irrigated agriculture in place of Jhum cultivation

- Market is developing
- Change in socio-economic structure.

MOSPI in their Evaluation Report on AIBP states that :

Central Assistance in AIBP projects has helped acceleration in project implementation, creation and utilization of irrigation potential. It has also led to provision of quality irrigation in time leading to higher cropping intensity, crop productivity, employment and income generation in the command area.

Economic and social returns to public investment under AIBP are reasonable justifying such investments. AIBP intervention has minimized drought impacts, protected areas from high floods and provided drinking water and hydro electricity in multipurpose projects. In many projects, irrigation has recharged aquifers in and around the command areas increasing groundwater levels for additional irrigation and water uses.

7. Implementation Strategy

- Release of grant under AIBP is based on utilization certificate of grants released earlier as well as progress achieved in potential creation. At the time of inclusion of a project in AIBP, the project authority has to sign an MOU for completion of the project in a stipulated time depending on balance works of the project. The MOU has also to provide for year wise phasing of creation of irrigation potential under AIBP.
- The progress of the projects in physical as well as financial terms is monitored through the field units of Central Water Commission and the Ministry. The bottlenecks found are pointed out to the state governments for initiating remedial actions thereto.
- The implementation of the Projects will be governed by the guidelines issued by the Ministry of Water Resources from time to time in consultation with Planning Commission.

8. Monitoring and Evaluation

Ministry of Water Resources and Central Water Commission will continue to monitor physical and financial performance of the projects by field visits, review of progress reports and discussions with State Governments. The potential creation from selected projects is confirmed through Remote Sensing Technology.

9. Confirmation of Irrigation Potential Creation under AIBP By Remote Sensing

Ministry of Water Resources and Central Water Commission will continue to monitor physical and financial performance of the projects by field visits, review of progress reports and

discussions with State Governments. The potential creation from selected projects is confirmed through Remote Sensing Technology. In the first instance, 53 ongoing/ completed projects across the country were taken up for evaluation using the remote sensing technology. The assessment in respect of 53 projects has been made available by National Remote Sensing Agency (NRSA). The reports made by the project authorities were also verified in the study and the study has been able to pinpoint the gaps in the network leading to non-continuity of the network for irrigation delivery. Such locations have also been pointed out to the project authorities for remedial action. Further during current year, another 50 projects are being assigned by the Ministry to NRSA for study.

10. Performance Audit of the Accelerated Irrigation Benefits Programme (AIBP) by CAG, Report titled Union Government (Civil) No. 4 of 2010-11

The Comptroller & Auditor General (C&AG) of India had taken up performance audit of the AIBP and has issued its report as stated under the subject. As per Action Taken Note on recommendations contained in their report following changes/modification in the guidelines of the AIBP have been proposed:

10.1 The CAG has desired that apart from data on creation of irrigation potential, data on utilization of irrigation potential created under AIBP should also be collected. Accordingly, it has been decided that with effect from 1.4.2011, all AIBP release proposals of major/medium/minor irrigation projects will accompany year wise data of irrigation potential creation of all the projects of the state funded under AIBP along with year wise data of its utilization of last five years and justification where utilization is lower than potential creation. CWC will not recommend any further Central Assistance to the project if above data is not provided by the State Government. In cases where there is no justification for low utilization of potential created, it will be discretion of the Ministry whether to recommend proposal of that state for further funding or otherwise. Such data is required to be accompanied only with first proposal of the State recommended to this Ministry during the year.

10.2 The State Governments have to ensure establishment of Monitoring Cells in the State for monitoring of Minor irrigation schemes under AIBP. Those States who have not established the monitoring cells may ensure that these are established before 1st April 2011 and communicate the same to this Ministry. Apart from establishment of monitoring cells, the State may ensure regular monitoring of all the MI schemes and submit monitoring reports to the Ministry of Water Resources.

10.3 C&AG have pointed out shortfall in monitoring visits and monitoring reports in respect of major/medium and minor irrigation schemes. The CWC may ensure that monitoring visits are regularly carried out for all major/medium projects twice a year in April and October and reports are submitted to the CWC and MOWR by end of May and November. At-least 5% minor irrigation schemes are also to be monitored by the CWC at-least once a year and report is submitted to the Senior Joint Commissioner (MI). Shortfall in above may be reflected in the Performance Report of the concerned Director and Chief Engineer of the CWC. There may be a few exceptions such as serious Law and Order problems etc forcing the CWC to avoid monitoring visit in schedule time. In such cases, the monitoring visits may be taken up

subsequently during the year. The activities related to monitoring such as monitoring visits to project and submission of status report thereupon will be monitored by the Chief Engineer (PMO), CWC, New Delhi in respect of major/medium projects and by Senior Joint Commissioner (MI) in respect of Minor irrigation schemes.

10.4 There has been performance below expectation in respect of several States in AIBP which have been pointed out by C&AG as well as Parliamentary Standing Committee on Water Resources. There appears to be less awareness amongst some of the state in respect of AIBP as well as TAC/Investment clearance of the project. CWC (HQ) may therefore arrange a Work Shop or Training Course on above subjects for all stake holders. The Workshop or Training Course may be arranged in November/December 2010 providing sufficient time period for state for participation in the programme.

10.5 CWC may examine all the ongoing projects under AIBP which have not been completed in time and reasons for delay in their completion. A list of the projects which are getting delayed without proper justification may be sent to this Ministry for initiating action for conversion of grant into loan. In cases, the CWC feels that there is proper reason for delay in project completion but the state government has not taken appropriate timely action to remove bottlenecks, list of such projects may also be sent to this Ministry with recommendations of the CWC.

10.6 While examining delayed projects, it is observed that one of the important reasons for delay in completion of the project is delay in land acquisition. It has now been decided that further release of funds for next year will be made only when land required for work of next year is in possession of the State Government and a certificate to that effect duly signed by the Secretary (WR)/Irrigation is appended with the proposal. This provision will come into effect from 1.4.2011.

The projects also get delayed due to work to be taken up by other than Water Resources/Irrigation Department. It has therefore been decided that all the State will set up Project Level and State Level Monitoring Committee which will coordinate such activities. The Director (Monitoring) will be made a Member of these Monitoring Committees by the State Government.

10.7 The MI schemes are techno-economically cleared by the TAC of the respective State Governments. The State Governments shall ensure that for those MI schemes which it propose for inclusion in AIBP, a representative of CWC should invariably participate in the TAC meeting in which such MI schemes are proposed to be considered for TAC clearance else the MI schemes will not be included in the AIBP. The representative of the CWC will examine broad parameters of the schemes and therefore, all relevant papers should be sent to him by the State Government well in time.

10.8 Confirmation of irrigation potential creation in respect of 53 selected irrigation projects under AIBP by remote sensing has been carried out and reports in respect of all 53 projects is received. Deficiencies were observed in several projects as pointed out by the NRSA in their

reports. Several State governments have reported compliances to the observations of the NRSA. It has been decided that areas where deficiencies have been pointed out by the NRSA may be visited by the CWC and a consolidated compliance report in respect of all 53 projects may be sent to this Ministry by December 2010.

10.9 It has also been observed that States are not focusing on the maintenance of irrigation projects constructed with AIBP assistance. It has been decided that State Government will provide Undertaking in the MOU that it will ensure adequate funds for maintenance of projects constructed under AIBP at-least for the following ten years. This will come into effect from 1.4.2011 for all new and revised MOU.

10.10 AIBP guidelines provide that Central Assistance released under AIBP along with State share is required to be transferred to the project authorities within 15 days of its release by the Central Government. Many state governments are not following this provision and there is considerable delay on this account from State Governments. It has therefore been decided that in future, if the delay occurs in project execution/completion due to delay in release of central assistance by the State government to project authorities, extension of time in such cases would not be granted.

11. National Projects

11.1 The scheme of the National projects was approved by the Union Cabinet in its meeting held on 7th February 2008. Subsequently, with the concurrence of the Planning Commission and Ministry of Finance, guidelines for implementation of the scheme of the National projects were issued by the Ministry of Water Resources in February 2009. A copy of the guidelines is placed at Annex-A-2. Under the scheme of National projects, 90% grant assistance of the eligible project cost is to be provided by the Government of India. The time allowed for completion of national projects is generally in accordance with the time period approved for completion of the project by the Technical Advisory Committee of Ministry of Water Resources while according techno-economic clearance to the project.

The Union Cabinet also approved a list of the 14 projects as National projects details of which are given in the guidelines of the National projects at Annex-I of Annex-A-2. As per approval of the Union Cabinet, a new project apart from 14 projects declared as national projects could be included in the list of the national projects only with the approval of the Union Cabinet. 14 projects declared as national projects will be eligible for funding under the scheme only after all necessary approvals are obtained for the project including approval of the Technical Advisory Committee of the Ministry of Water Resources and investment clearance from the Planning Commission. However, 3 projects in the above stated list namely Gosikhurd Project of Maharashtra, Shahpur Kandi project of Punjab and Teesta Barrage project of West Bengal were already approved projects and were being provided with central assistance under AIBP.

11.2 Eligibility Criteria for Inclusion as National Project: As per guidelines of the scheme of National Projects, the criteria for selection of National Project will be as under:

- (a) International projects where usage of water in India is required by a treaty or where planning and early completion of the project is necessary in the interest of the country.
- (b) Inter-State projects which are dragging on due to non-resolution of Inter-State issues relating to sharing of costs, rehabilitation, aspects of power production etc., including river interlinking projects.
- (c) Intra-State projects with additional potential of more than 2,00,000 hectare (ha) and with no dispute regarding sharing of water and where hydrology is established.

During 2008-09, proposal of Gosikhurd Project of Maharashtra under the scheme of National projects to be funded under AIBP was received and grant amounting to Rs. 450 crore was released for the project. During 2009-10 also, grant amounting to Rs. 720 crore has been released for Gosikhurd project and Rs. 10.800 crore for Shahpur Kandi project. Proposals indicating requirement of central assistance for Teesta Barrage project is yet to be received.

Modified Guidelines for the Accelerated Irrigation Benefits Programme Effective from December 2006

A) Eligibility Criteria for Funding

1. Major, medium and Extension, Renovation & Modernization (ERM) irrigation projects (a) having investment clearance of Planning Commission (b) are in advanced stage of construction and can be completed in the next four financial year (c) are not receiving any other form of financial assistance can be considered for inclusion in the programme. Components of the projects not receiving any other form of financial assistance can also be considered for inclusion in the programme. The eligibility criteria as per prevailing guidelines for selection of ERM project will continue. New project could be included in programme only on completion of an ongoing project under AIBP on one to one basis EXCEPT FOR projects benefiting (a) drought-prone areas; (b) tribal areas; (c) states with lower irrigation development as compared to national average; and (d) districts identified under the PM's package for agrarian distress districts. The list of the projects included in the PM's package is given in Annexure-I.
2. Surface minor irrigation (MI) schemes (both new as well as ongoing) of states of North-East, Hilly states (Himachal Pradesh, Sikkim, Jammu and Kashmir and Uttaranchal) and drought prone KBK districts of Orissa which are approved by State TAC / State Planning Department will be eligible for assistance under the programme provided that (i) individual schemes are benefiting irrigation potential of at least 20 ha. and group of schemes (within a radius of 5 km) benefiting total ultimate irrigation potential of at least 50 ha. (iii) proposed MI schemes have benefit cost ratio of more than 1 and (iv) the development cost of these schemes per ha. is less than Rs.1.00 lakh.

For Non-special category states, only those minor irrigation schemes with potential more than 50 hectare which serve tribal areas and drought prone areas could be included under AIBP. The schemes to be taken up will be decided in consultation with Planning Commission.

B) Terms of Funding and Mode of Disbursement

1. The central assistance will be in the form of central grant which will be 90% of project cost in case of special category States*, projects benefiting drought prone area, tribal area and flood prone area and 25% of project cost in case of Non-special category States**. The balance cost of the project as the state's share is to be arranged by the state government from its own resources.
2. During a financial year, the sanctioned grant will be released in two instalments. The first instalment based on projected outlay and the second instalment after confirmation of expenditure. The grant component amounting to 90% of the total grant sanctioned will be released immediately and balance 10% will be released when 70% of the agreed

expenditure is incurred. Funding for the years subsequent to the first year will be based on the confirmation of expenditure of the previous years.

3. The grant component along with the state share must be released to the project authorities by the state governments within 15 days of its release by the Government of India.
4. State governments will be required to enter into an MoU with the MoWR (Annexure II for major/medium projects and Annexure III for minor irrigation schemes) for each individual project under the programme indicating balance cost, balance potential, year-wise phasing of expenditure vis-à-vis balance potential and agreement to create targeted irrigation potential in four financial years for major/medium projects and two financial years for minor irrigation schemes along with target date of completion. In addition to above, for minor irrigation schemes in Non-special category states, the state government would give an undertaking (Annexure-IV) for their completion on schedule in two financial years and formation of Water Users Association for post construction maintenance.
5. The Utilization Certificate shall be issued by the Chief Engineer of the project and countersigned by Secretary (Water Resources/Irrigation)/Secretary (Finance) of the state government. The Utilization Certificate must contain physical achievement of Irrigation Potential as agreed to in the MoU on year to year basis. In case, the physical achievements in a particular year are less than that agreed to in the MoU, further grant will be released only on achieving physical target. The final target date of completion will however not be changed from that entered into MoU.
6. If the State Governments fails to comply with the agreed date of completion, the grant component released will be treated as loan and recovered as per usual terms of recovery of the Central Loan.
7. The States would be required to submit audited statements of expenditure incurred on the AIBP component of the project within nine months of the completion of the financial year. The release of central assistance of the following years will not be considered if audited statement of expenditure is not furnished within nine months of release of central assistance.
8. The State Governments should confirm the project specific budget provision for work to be done under AIBP on year to year basis.

C) Monitoring of Projects

1. A comprehensive physical and financial periodical monitoring of major/medium projects will be carried out by Central Water Commission/Ministry of Water Resources and Ministry of Programme Implementation with emphasis on quality control.

The monitoring visit and submission of Status Reports will be carried out by the Central Water Commission at least twice a year for the period ending March and September of

the year. The releases of subsequent installments will be based on physical and financial verification and the recommendations of Central Water Commission to the satisfaction of Ministry of Water Resources. The latest techniques such as monitoring through Remote Sensing Technology may be used by the Govt. of India to monitor the progress of works specifically, the Irrigation Potential created and States are required to provide necessary input details of Project to the Central Govt. from time to time even after completion of Project.

2. Monitoring of the minor irrigation schemes has to be done by the State Government themselves through agencies independent of construction agencies. These schemes would also be monitored periodically on sample basis by Central Water Commission and assessed against predetermined targets by the Ministry of Water Resources.

* * * * *

* The Special Category States covers the North Eastern States, Sikkim, Himachal Pradesh, Jammu & Kashmir, and Uttaranchal. The projects in the undivided Koraput, Bolangir and Kalahandi (KBK) districts of Orissa will also be treated at par with Special Category States.

** All other states not covered in special category shall be Non-Special Category States

Annexure - I

The following projects have been identified for completion under the Prime Minister's package for distressed districts of Maharashtra, Andhra Pradesh, Karnataka and Kerala:

MAHARASHTRA	1	Wan
	2	Upper Wardha
	3	Pothra Nala
	4	Utawali
	5	Purna
	6	Lal Nala
	7	Kar
	8	Arunavati
	9	Lower Wardha
	10	Bembla
	11	Sapan
	12	Pen Takli
	13	Khadakpurna
	14	Chandra Bhaga
	15	Dham
	16	Nawargaon
	17	Lower Pedhi

KARNATAKA	1	Malaprabha
	2	Ghataprabha Stage - III
	3	Votehole
	4	Hippargi
	5	Markendeya
	6	Mod. of Bhadra
	7	Huchanakopplu Lift
	8	Kanchanahalli Lift
	9	Kamasamudra
	10	Rameswara Lift
	11	Ballary Nala
	12	Restoration and augment - ation of Bhima samudra tank

	13	Harangi
	14	Hemavathi
	15	Yagachi
	16	Dudhaganga
	17	Chiklihole

ANDHRA PRADESH	1	Flood flow canal from Sriram Sagar Project
	2	Gundlakamma Reservoir
	3	Shriramsagar Stage - II
	4	Palemvagu
	5	Rallivagu
	6	Mathadivagu
	7	Gollavagu
	8	Peddavagu
	9	Rajiv LIS(Bhima Proj)
	10	Veligallu
	11	Alisagar LIS
	12	Guthpa LIS
	13	J Choka Rao (godavari LIS)
	14	Neelwai
	15	Kinner Sane
	16	Dummududam N S Tail Pond
	17	Sripada Sagar LIS
	18	Rajiv Sagar LIS (Dummugudam)
	19	Pranahita - Chevella
	20	Koil Sagar LIS
	21	Singur Canal
	22	Indira Sagar LIS (Dummugudam)
	23	Komaram Bhim
	24	Choutapally Hanumanth Reddy LIS
	25	Modikuntavagu

KERALA	1	Chitturpuzha Project
	2	Karapuzha Project
	3	Malampuzha
	4	Koriarkutty Karapa
	5	Bansurasagar
	6	Kanjirapuzha

Note : AIBP assistance to these projects is subject to projects getting investment clearance from Planning Commission.

Memorandum of Understanding between the Ministry of Water Resources,
Government of India and Government of on completion of
irrigation project.

1. This memorandum of understanding is made between the Ministry of Water Resources, Government of India and the Government offor the completion of ongoing ----- irrigation project in the next four(4) financial years under the Central Assistance(CA) programme of the Government of India.
2. The..... irrigation project was approved by the Planning Commission in.....for Rs.....crore to irrigate.....ha. annually.
3. According to the State Government, the latest estimated cost of the project is Rscrores, at..... price level and the latest estimated cost approved by Central Water Commission is Rs.....crore atPrice level. The expenditure up to is Rs.....crore and a potential of..... ha has already been created.
4. The balance cost for completion of the project is thus Rs..... crore with a balance potential ofha. The physical and financial details of the components to be covered under this programme are annexed. The physical year-wise target* for creation of irrigation potential will be as under:
 - 1st year - No target
 - 2nd year - Atleast 30% of total irrigation potential included in AIBP
 - 3rd year - Atleast 60% of total irrigation potential included in AIBP.
 - 4th year - 100% irrigation potential included in AIBP
5. The Ministry of Water Resources, Government of India agrees to extend Central assistance to cover the full balance cost of Rs.....crore for the completion of the project in the next four (4) financial years subject to the following conditions:
 - i) The project will be completed by the Government of by..... . Its completion will be informed immediately thereafter to the CWC, Ministry of Water Resources and the Planning Commission for deleting the project from the list of on-going projects.
 - ii) The Central assistance will be given in two installments 1st, 90% and 2nd, 10% of total grant to be released on year to year basis.
 - iii) The balance second installment of 10% of the grant will be released after 70% of the agreed expenditure is incurred and physical target of potential creation for the year is also achieved and indicated in Utilization Certificate.
 - iv) The project will be closely monitored by the Central Water Commission/ Ministry of

Water Resources and the release of the subsequent installment will be based on the recommendations of the Central Water Commission /Ministry of Water Resources.

- vi) The State Government shall ensure required quality control in the execution of the works. This aspect will also be covered by the Central Water Commission in their monitoring report.

Signed on the day..... 200 at New Delhi.

For and on behalf of the Govt. of..... For and on behalf of Government of India
.....

Secretary, Government of.....
Commissioner (PROJECTS), Ministry of
Water Resources

* Deviation in the programme of potential creation would be with the concurrence of CWC/MoWR.

Memorandum of Understanding between the Ministry of Water Resources,
Government of India and Government of on
completion of Minor Irrigation Schemes.

1. This memorandum of understanding is made between the Ministry of Water Resources, Government of India and the Government offor the completion of.....ongoing Minor irrigation Schemes in the next two (2) financial years under the Central Assistance(CA) under AIBP of the Government of India.
2. The..... irrigation Schemes was approved by the State Planning Commission/State Govt. in.....for Rs.....crore to irrigate.....ha. annually.
3. According to the State Government, the latest approved estimated cost of the project is Rs.....crore at.....price level. The expenditure up to is Rs.....crore and a potential of..... ha has already been created.
4. The balance cost for completion of the project is thus Rs crore with a balance potential ofha. The physical and financial details of the components to be covered under this programme are annexed. The physical year-wise target* for creation of irrigation potential will be as under:

1st year - 10% irrigation potential included in AIBP

2nd year 100% irrigation potential included in AIBP
5. The Ministry of Water Resources, Government of India agrees to extend Central assistance to cover the full balance cost of Rs..... crore for the completion of the project in the next two (2) financial years subject to the following conditions:
 - i) The project will be completed by the Government ofby.. It s completion will be informed immediately to the Ministry of Water Resources for deleting the project from the list of on-going projects.
 - ii) The Central assistance will be given in two installments 1st, 90% and 2nd, 10% of total grant to be released on year to year basis.
 - iii) The balance second installment of 10% of the grant will be released after 70% of the agreed expenditure is incurred and physical target of potential creation for the year is also achieved and indicated in Utilization Certificate.
 - iv) The project will be closely monitored by the Ministry of Water Resources and the release of the subsequent installment will be based on the recommendations of the Ministry of Water Resources. Quarterly progress report in respect of the Surface Minor Irrigation Schemes being implemented under AIBP shall be submitted to the Government of India by 7th January, April, July and October positively.

v) The State Government shall ensure required quality control in the execution of the works.

Signed on the day.....200 at New Delhi.

For and on behalf of the Govt. of.....	For and on behalf of Government of India
.....
Secretary, Government of.....	Commissioner (PROJECTS), Ministry of
	Water Resources

* Deviation in the programme of potential creation would be with the concurrence of CWC/MoWR.

Undertaking by the State Government for Inclusion of New Surface Minor
Irrigation Schemes in Non-special Category States

To

The President of India,
Acting through_____,
(Name, Designation),
Ministry of_____,
Government of India,
New Delhi.

In consideration of the President of India, acting through_____having agreed for providing Central Assistance to Surface Minor Irrigation Schemes under the Accelerated Irrigation Benefits Programme(AIBP), the Governor of the State of_____ acting through (name, designation) _____, Ministry/Department of _____ Government of _____ hereinafter referred to as "the SG", do hereby declare and undertake as follows:

- i) The SG agrees for the completion of surface minor irrigation schemes on schedule.
- ii) Quarterly progress report in respect of the Surface Minor Irrigation Schemes being implemented under AIBP shall be submitted to the Government of India by 7th January, April, July and October positively.
- iii) The SG will form water users association for post construction maintenance and formation of such water users association shall be intimated to the Government of India within one year from the date of signing of the undertaking.
- iv) In case of failure, the Central share provided to the SG under the programme shall be treated as withdrawn and recovered in one lump-sum installment with interest as prescribed by the Ministry of Finance.

Date:-----

Place:-----

Signature-----

Secretary (WR / Irrigation)

Govt. of-----

For and on behalf of the Governor
of the State_____

In presence of

(Witness)

Guidelines for Implementation of National Projects

Government of India has approved a scheme of National Projects to be implemented during XI Plan with a view to expedite completion of identified National Projects for the benefit of the people. Such projects will be provided financial assistance by the Government of India in the form of Central grant which will be 90% of the estimated cost of such projects for their completion in a time bound manner. Based on the criteria mentioned in Para-I below, the Government of India has already identified 14 projects as given in Annex-I as National Projects.

I. Criteria for Selection of National Projects

The criteria for selection of National Project will be as under:

- (a) International projects where usage of water in India is required by necessary in the interest of the country.
- (b) Inter-State projects which are dragging on due to non-resolution of Inter-State issues relating to sharing of costs, rehabilitation, aspects of power production etc., including river interlinking projects.
- (c) Intra-State projects with additional potential of more than 2,00,000 hectare (ha) and with no dispute regarding sharing of water and where hydrology is established.

II. Procedure for Inclusion as National Project

- (a) New projects could be considered for inclusion as National Projects on receipt of proposals from the State Governments in the prescribed format (as per Annexure-II), clearance from Expenditure Finance Committee/Project Investment Board and on the recommendation thereupon of a high powered Steering Committee constituted for the purpose of overseeing the entire process of selection and implementation of National Projects and the approval by the Union Cabinet.
- (b) State Governments may submit proposals in Form-1 given in Annex-II for inclusion of project as a National Projects. The proposals should be submitted through the Regional Office of Central Water Commission (CWC) with a copy each of the proposal to the CWC (HQ) and the Ministry of Water Resources.
- (c) The projects proposed for inclusion as National Projects should fulfill all the eligibility criteria required for funding under Accelerated Irrigation Benefit Programme (AIBP), including the investment clearance of the Planning Commission.
- (d) Only major irrigation/multi-purpose projects shall be eligible for inclusion as National Projects.
- (e) On receipt of a proposal from the State Government for inclusion of a project as National Project, the Ministry of Water Resources may send a team of officers to the

project site with a view to make assessment of the present status of the project and to firm up the plans for its completion in a specified time-frame.

III. Funding of the National Projects

- (a) The Project authority should conduct an internal audit and submit the actual expenditure incurred and the balance requirement of funds duly certified by the State Government. So far as the Central Government is concerned, the commitment to fund these National Projects would be from the date of its inclusion as National Project.
- (b) The National Projects will receive central assistance in accordance with the approved guidelines for AIBP except for specific provision as mentioned in para III (c) and III (d).
- (c) The National Projects shall be eligible for 90% grant of the balance project cost (cost of work) of irrigation and drinking water components of the project. For the purpose of Central funding, the cost for drinking water component shall not include the works related to transmission and distribution network required exclusively for drinking water component.
- (d) The central assistance under the programme will be provided in two installments of 90% and 10% respectively of the annual grant requirement. The 2nd installment during the year will be released on production of utilization certificate of 80% grant released in the first installment along with State share. For the subsequent years, the first installment of grant will be released on utilization of 80% grant released till previous year along with the State share and submission of a report of physical achievements and the benefits from the project as stipulated in the MOU in proforma given in Annex-III.
- (e) All establishment and administrative costs on a National Project shall be entirely borne by the State Government.
- (f) The revised estimates for the projects funded as National Projects should be got approved from the Planning Commission at an interval of three years else, Ministry of Water Resources could stop funding to the project.
- (g) The central grant released to the State Government will be transferred by the State Government to the project authorities within 15 days of its receipt from the Central Government.
- (h) The State Government will submit audited statement of expenditure incurred on National Project within 18 months of release of Central Grant.

IV. Work Plan and Time Schedule for Completion of National Projects

- (a) The State Government will provide along with the proposal for inclusion of a project as National Project, detailed year wise physical and financial programme for completion of various activities along with PERT/CPM Chart for the timely completion of various activities. It will also indicate year wise target of the benefits

from the project. A Memorandum of Understanding (MoU) in proforma given at Annex-IV will be signed by State Government with the Ministry of Water Resources.

- (b) While submitting a proposal for techno-economical appraisal of the project to the Central Water Commission (CWC), the State Government will also indicate the programme for completion of the project in a time bound manner. The CWC will examine techno-economic viability of the project keeping in view the time period proposed by the State Government for completion of the project and the same time frame will be adhered to in completion of the project.
- (c) The State Government will ensure timely completion of the project and will adopt appropriate measures such as Turn-Key or fixed time and fixed price contracts for this purpose. The works should be awarded by the State Government in distinct packages so that works of any package are not affected by the progress of works of other packages.
- (d) The State Government should consider incorporating provision of strong incentives/disincentives for the contracts for execution of the National Project to facilitate timely completion of the project.
- (e) The Command Area Development Programme should get implemented *pari passu* with project implementation.
- (f) Land records in the command of the proposed national projects should be updated, livelihood survey should be conducted and advance planning should be done along with dovetailing the various RD Programmes so that the agricultural produce could be marketed through communication networks in mandis and nearby markets.
- (g) The job of soil testing and issue of soil health cards to the farmers of national projects command should be completed before the irrigation benefits starts.

V. Monitoring of National Projects

- (a) The progress of work in respect of National Projects shall be closely monitored by the Central Water Commission/Ministry of Water Resources. The monitoring of National Projects will be field based with GIS based project implementation units linked with management information systems.
- (b) The State Government will keep close coordination with agricultural departments for the advanced crop planning and extension inputs to farmers of the command.
- (c) Achievement of targets of the potential creation from the project may also be got assessed by the Ministry of Water Resources through independent agencies and other means such as remote sensing technique.
- (d) The State Government shall send quarterly physical and financial progress reports in the proforma given in the Annex-V to the CWC/Ministry of Water Resources.
- (e) The State Government shall establish independent quality control organization and adequate number of quality control laboratories in the project areas to maintain quality of works. The sampling and testing will be required to be carried out in accordance with relevant BIS Codes.

VI. Review by Steering Committee

The implementation of National Projects will be reviewed from time to time by the High Powered Steering Committee constituted under chairpersonship of the Secretary (Water Resources). The composition of the Steering Committee and its terms of references may be seen at Annexure-VI.

VI. Evaluation and Impact Assessment

A concurrent evaluation of the Project and impact assessment of the project on its completion will be conducted by the State Government through a reputed independent organization to find out whether the envisaged objectives, outcomes and targets of the project have been achieved. The Ministry of Water Resources may also get the evaluation and impact assessment done separately. Funding for the evaluation and impact assessment will be provided by the Ministry of Water Resources through its ongoing Plan scheme "Research & Development Programme for Water Sector".

List of projects declared as National Projects:

Sl. No.	Name of the Project	1) Irrigation (ha.) 2) Power (MW) 3) Storage (MAF)	State
1	Teesta Barrage	1) 9.23 lakh 2) 1000 MW 3) Barrage	West Bengal
2	Shahpur Kandi	1) 3.80 lakh 2) 300 MW 3) 0.016 MAF	Punjab
3	Bursar	1) 1 lakh (indirect) 2) 1230 MW 3) 1 MAF	J&K
4	2nd Ravi Vyas Link	Harness water flowing across border of about 3 MAF	Punjab
5.	Ujh multipurpose project	1) 0.32 lakh ha 2) 280 MW 3) 0.66 MAF	J&K
6.	Gyspa project	1) 0.50 lakh ha 2) 240 MW 3) 0.6 MAF	HP
7.	Lakhvar Vyasi	1) 0.49 lakh 2) 420 MW 3) 0.325 MAF	Uttranchal
8.	Kishau	1) 0.97 Lakh 2) 600 MW 3) 1.04 MAF	HP/Uttranchal
9.	Renuka	1) Drinking water 2) 40 MW 3) 0.44 MAF	HP
10.	NoaDehang Dam Project	1) 8000 ha. 2) 75 MW 3) 0.26 MAF	Arunachal Pradesh
11.	Kulsi Dam Project	1) 23,900 ha. 2) 29 MW 3) 0.28 MAF	Assam
12.	Upper Siang	1) Indirect	Arunachal Pradesh
13	Gosikhurd	1) 2.50 lakh 2) 3MW	Maharashtra

Proforma for Submission of Proposal by State Government for Inclusion as National Project

1. Name of the State :
2. Name of the Project :
3. Brief Description of The Project :

The project situated in district of state envisages construction of Head Works (give details) and Canal System (give details) to cover CCA of ha. The project will provide irrigation benefits to Ha Irrigable Command Area, the taluka and district wise break up of which is given in Annex. The ultimate irrigation potential of the project is ha. The project has installed power generation capacity ofMW of hydropower. The project is to provide drinking water benefits to the villages and towns as per details annexed herewith. The project was given investment clearance by Planning Commission in the year for Rs..... crore. The latest estimated cost of the project is Rs..... crore at price level (give status of approval of latest estimated cost) and expenditure incurred till (ending previous March) is Rs..... crore. The project was started during the year and is proposed to be completed by

The physical progress (in percentage) of main components of the project as on (ending previous March) is as below:

S. No.	Component	% Progress
i)	Dam (H/Works)	%
ii)	Main & Branch Canals	%
iii)	Distributary system upto chuk outlets	%
iv)	Water Courses	%

The direct benefits achieved from project so far are

(Whether the project is receiving any external /domestic assistance? Only those components of the project which are not receiving any financial assistance from any other internal or external sources are to be considered for assistance as National Project. However, the State Government may raise State share from other sources.)

4. Components Proposed for Funding of a National Project

(a) Brief description of the components of the project proposed for Central grant:

Name of the component	Its present status	Target date of completion
1.		
2.		
3.		

Likely addition in irrigation potential/likely installed power generation capacity/likely drinking water benefits on completion of above mentioned components is

(b) Year-wise requirement of funds for works and likely direct benefits:

Year	Grant proposed	State Govt. share	Total	Likely direct benefits (Irrigation potential, installed power generation capacity etc.)
Total				

Provision made in the State Budget for the project : Rs. crore.

Break-up: For Works Rs. crores

For Establishment Rs. crores.

(c) Programme of works for items to be covered :

Sl. No		Description of components	Unit	Total estimated Quantity	Quantity executed upto (March)	Quantity proposed for next year
1		2	3	4	5	6
I		Unit - I/Head Works				
1		Dam/Barrage				
	i)	Land acquisition	Ha.			
	ii)	Earth work				
		a) Excavation	Th.cum			
		b) Embankment	Th.cum			
	iii)	Masonry work	Th.cum			
	iv)	Concrete work	Th.cum			
	v)	Gates	Nos.			
	vi)	Misc (pl. specify)				

Sl. No	Description of components	Unit	Total estimated Quantity	Quantity executed upto (March)	Quantity proposed for next year
II	Unit - II				
1	Main Canal, Branch Canal	Km			
	i) Land acquisition	Ha.			
	ii) Earth work	Th.cum			
	iii) Lining	Th.sqm			
	iv) Structures	Nos.			
	v) Misc.(pl.specify)				
2	Distributaries & Minors				
	i) Land acquisition				
	ii) Earth work				
	iii) Lining				
	iv) Structures				
	v) Misc.(pl.specify)				
3	Water Courses				
	i) Land acquisition				
	ii) Earth work				
	iii) Lining				
	iv) Misc.(Pl specify)				

(Salient Features of the project and Index Map showing National Project components to be appended).

Prevailing constraints/bottlenecks, if any, and remedial measures being taken to implement the project may please be mentioned.

Additional Information to be Provided

1. Year wise physical and financial programme till completion of project in the following proforma:

Physical Programme & Progress

- Item of work (only important items of works to be given)
- Total estimated quantity
- Quantity executed so far
- Balance quantity
- Year wise break up for execution of balance quantity till completion of project\
- Year wise break up of the direct benefits from project

Financial Programme & Progress

- Item of work (only important items of works to be given)
 - Total estimated cost
 - Expenditure incurred so far
 - Balance cost
 - Year wise break up for execution of balance cost till completion of project
2. District and Taluka wise break up of Irrigable Command area along with district and taluka wise area covered so far may be given.
 3. Other direct benefits from the project stipulated and achieved so far.
 4. Status of all mandatory clearances along with copies of the clearances may be given.
 5. Total land required to be acquired for the project with break up of Revenue, forest and private land and land acquired so far. Land required for reservoir and canal system may be given separately.
 6. Status of Resettlement & Rehabilitation of project affected persons may be given covering number of villages likely to be affected with village wise numbers of project affected families (PAF), village wise number of families rehabilitated so far.
 7. Details of ongoing contracts stating works covered, year of contract, year of completion of contract as per agreement, present status may be given along with reasons for delay in completion of contracted works.
 8. Number of packages proposed for balance work with details of works to be covered, likely contract cost and time period of each package.

Physical Achievement Certificate

Certified that as per MOU signed by the State Government of..... with the Government of India for funding of project as a National Project, the following were physical target/achievements of quantity and indirect and direct benefits of the project for the period ending

Sl. No.	Name of the component of work	Total quantity of work of the component		Target for period ending.....	Actual achievement for period ending.....
	1. Headworks 2. Main and Branch Canal 3. Distribution System 4. Irrigation Potential				

The physical achievements for the corresponding period are shown against targets which have actually been achieved.

Sd-
Principal Secretary/Secretary
Water Resources/Irrigation Department

Dated:

Memorandum of Understanding Between the Ministry of Water Resources, Government of India and Government of on Completion of National Project.

1. This memorandum of understanding is signed between the Ministry of Water Resources, Government of India and the Government of for the completion of the project in.....years under the central assistance programme for National Projects of the Government of India.
2. The project was approved by the Planning Commission in..... for Rs. crore to irrigate ha., to generate hydropower of units and to provideMCM of drinking water annually. Other benefits proposed from the project are.....
3. According to the State Government, the latest estimated cost of the project is Rs..... crore (.....price level), and the expenditure incurred till is Rs..... crore. The benefits realized from project so far are.....
4. The balance cost for completion of the project is thus Rs..... crore with balance benefits to be realized as..... The physical and financial details of the components to be covered under this programme are annexed along with annual physical and financial programme till completion of project with annual targets of the benefits to be realized from the project which will be part of this Memorandum of Understanding.
5. The Ministry of Water Resources, Government of India agrees to extend Central Assistance to cover the 90% balance cost of irrigation and drinking water components of the project of Rs..... crore for the completion of the project in.....years subject to the following conditions:
 - i) The project will be completed by the Government of by Its completion will be informed immediately thereafter to the CWC, Ministry of Water Resources and the Planning Commission for deleting the project from the list of on-going projects.
 - ii) The Central Assistance will be provided on year to year basis. The assistance for a year will be provided in two installments of 90% and 10% respectively.
 - iii) The 2nd installment during 1st year will be released on production of utilization certificate of 80% grant released in the 1st installment along with State share signed by the Secretary (WR/Irrigation of the State Government.
 - iv) The 1st installment of Central Assistance during 2nd and subsequent years will be released on production of utilization certificate of 80% grant released till previous

year with State share duly signed by the Secretary (WR/Irrigation) of the State with a certificate incorporating physical achievements and the benefits from the project as stipulated in the MOU.

- v) If the State Government fails to achieve physical targets in stipulated time limit, the central government may consider converting grant released to the project into loan which will be required to be repaid by the State Government along with applicable rate of interest.
- vi) The project will be closely monitored by the Central Water Commission and the release of the CA will be based on the recommendation of the Central Water Commission.
- vii) The State Government shall establish independent quality control organization and adequate number of quality control laboratories in the project area to maintain quality of works. The sampling and testing will be carried out in accordance with relevant BIS Codes.
- viii) The State Government will provide Annual audited Statement of expenditure for the expenditure incurred on National Project corresponding to the Central Grant released under AIBP within 18 months of release of grant for the project.
- ix) The State Government shall transfer central grant released to the project to the project authorities within 15 days of its receipt from the Government of India

In case of violation of any of the conditions of guidelines of National Project and this MOU, the central Government may consider withdrawing the project from the list of National Project. In such cases, the entire grant released to the project will be treated as loan which will be required to be repaid by the State Government to the Central Government along with applicable interest thereupon as prescribed by the Ministry of Finance from time to time.

Signed on the day 200 , at New Delhi.

For and on behalf of the Govt.

Of

Secretary (WR/Irrigation)

Government of

For and on behalf of

Government of India

Commissioner (PR)

Ministry of Water
Resources

Proforma for Quarterly Physical and Financial Progress
(For period ending.....)

- | | |
|--|--|
| a) Name of the Project
b) Name of the State
c) Total grant released till date
d) Corresponding State Share
e) Corresponding expenditure actually incurred. | f) Direct benefits proposed as per MOU
g) Corresponding achievement
h) Indirect benefits proposed as per MOU
i) Corresponding achievement |
|--|--|

Sr.No.	Item of Work	Total Quantity as per MOU	Quantity proposed up to the period.....	Quantity actually executed	Estimated cost as per MOU corresponding to (4)	Actual expenditure incurred for quantity executed	Reasons for shortfall for physical & financial achievements.
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)

No.27/1/2005-PR-PART-III
Government of India
Ministry of Water Resources
(Project Section)

631-Shrmam Shakti Bhavan
New Delhi 110001 Dated 9th April, 2008

Subject:- Constitution of Steering Committee for implementation of National Projects

The Union Cabinet in its meeting held on 7th February 2008 has approved the scheme for implementation of National projects proposed by the Ministry of Water Resources which inter-alia contains selection criteria for National Projects, implementation strategy, funding arrangement etc. The proposal also contains constitution of a high powered Committee for implementation of the proposals of National Projects. Accordingly, a high powered Steering Committee for the implementation of National Projects as given below is constituted:

1	Secretary (Water Resources)	Chairperson
2	Secretary (Expenditure), Ministry of Finance	Member
3	Secretary, Ministry of Environment & Forest	Member
4	Principal Advisor (Water Resources), Planning Commission	Member
5	Secretary, Ministry of Power	Member
6	Secretary, Ministry of Rural Development	Member
7	Chairman, Central Water Commission	Member

Chief Engineer, Project Preparation Organization, CWC will function as Secretary to the High Powered Steering Committee for implementation of the National Projects.

The meetings of the Committee will be convened as and when considered necessary but at-least once in three months to review the implementation of the National Projects. The terms of reference of the Committee are as under:

1. To recommend implementation strategies for National Projects.
2. To monitor implementation of National Projects.
3. To examine the proposal(if any) for inclusion of new projects as National Project and make appropriate recommendation to the Government.

A copy of Extract of Cabinet Note on National Projects and Scheme of National Projects is enclosed along with brief details of the 14 projects approved by the Central Government as National Projects.

Encl:- As above

(INDRA RAJ)
Commissioner (PR)

Copy to:

1. Secretary(Expenditure), Ministry of Finance, North Block, New Delhi.
2. Secretary, Ministry of Environment & Forest, CGO Complex, Lodhi Road, New Delhi.
3. Principal Advisor(Water Resources), Planning Commission, Yojana Bhavan, New Delhi.
4. Secretary, Ministry of Power, Shram Shakti Bhavan, New Delhi.
5. Secretary, Ministry of Rural Development, New Delhi
6. Chairman, Central Water Commission, Sewa Bhavan, R.K. Puram, New Delhi.

Copy forwarded for information to:

PS to Secretary(WR), Shram Shakti Bhavan, New Delhi.

National Rural Drinking Water
Programme (NRDWP)

Department of Drinking Water & Sanitation
Government of India

1. Provision of safe drinking water is a basic necessity. Rural drinking water supply is a State subject and has been included in the Eleventh Schedule of the Constitution among the subjects that may be entrusted to Panchayats by the States to support States and UTs with financial and technical assistance to implement drinking water supply schemes all rural habitations. The Govt. of India is implementing the National Rural Drinking Water Programme (NRDWP).

2. Components of the NRDWP

The components under the programme are NRDWP (Coverage), NRDWP (Sustainability), NRDWP (Water quality), NRDWP (DDP areas), NRDWP (Natural calamity) and NRDWP (Support). In accordance with the policy of Government of India, the Department of Drinking Water Supply has earmarked 10% of the total Central outlay for the programme for the NE States. The earmarking of funds by DDWS and the Centre: State share in funding, will be as follows:

I. At the Central Level

- i) NRDWP (Coverage): 30% of the NRDWP funds are allocated for Coverage.
- ii) NRDWP (Water Quality): 20% of the annual NRDWP funds will be allocated for addressing water quality problems to enable the rural communities to have access to potable drinking water.
- iii) Operation and Maintenance (O&M): 10% NRDWP funds are allocated to be used by the States/UTs on O&M of rural drinking water supply schemes.
- iv) NRDWP (Sustainability): 20% of the NRDWP funds are be earmarked to encourage States/UTs to achieve drinking water security through sustainability of sources and systems. This component will be implemented in the form of decentralized, community managed, demand-driven programme on broad Swajaldhara principles wherein innovations will be encouraged. Capital cost sharing is left to the state to decide.
- v) NRDWP (DDP Areas): 10% of the NRDWP funds are assigned amongst States having DDP blocks/districts funded on a 100% Central share basis.
- vi) NRDWP (Natural calamity): 5% of the NRDWP funds are retained by DDWS and used for providing assistance to States/UTs to mitigate drinking water problems in the rural areas in the wake of natural calamities.
- viii) NRDWP (Support): 5% of NRDWP funds are allocated for support activities that may include awareness generation and capacity building programmes through CCDUs, water quality testing, MIS and computerization, R&D activities etc.

II. At the State Level the programme funds available for different components will be as follows:

- i) 10% for O&M with 50:50 cost sharing basis between Centre & State (In case of J&K and NE States on 90:10 basis).

- ii) 20% for sustainability on 100% Central share basis.
- iii) 45% for coverage and 20% for water quality on 50:50 cost sharing basis (In case of J&K and NE States on 90:10 basis).
- iv) 5% for Support activities on 100% Central share basis.

3. Criteria for State wise allocation of NRDWP funds

Under the NRDWP guidelines the criteria for inter-state allocation of NRDWP funds is based on.

- Total Rural Population 2001 Census ; (Weightage 40%)
- Rural SC and ST Population 2001 Census; (Weightage 10%)
- Rural population managing drinking water supply schemes; (Weightage 10%)
- States under DDP, DPAP, HADP and special category Hill States in terms of rural areas; (Weightage 40%).

4. Status of Physical and Financial Performance under NRDWP in 2010-11 (as at end of November, 2010)

Financial Performance

State-wise expenditure against funds available (Opening balance plus releases) is given at Annexure-I.

Only West Bengal reported expenditures above 50%.

States with expenditures reported between 30-50% include Andhra Pradesh, Arunachal Pradesh, Assam, Gujarat, Himachal Pradesh, J&K, Kerala, M.P., Maharashtra, Meghalaya, Mizoram, Orissa, Punjab, Rajasthan, Sikkim, Tamil Nadu, Tripura and Uttar Pradesh.

States with expenditures reported below 30% include Bihar, Chhattisgarh, Haryana, Jharkhand, Karnataka, Nagaland and Uttarakhand. Other States/UTs reported 0% performance.

Physical Performance

State-wise physical performance in coverage of rural habitations with drinking water supply is given at Annexure-II.

Only Maharashtra and H.P., reported achievement more than 50% of the target.

States achieved performance between 30-50% are Assam, Gujarat, J&K, M.P., Nagaland, Orissa, Sikkim, Tamil Nadu, Uttar Pradesh, Uttarakhand and West Bengal.

States whose performance is below 30% are Andhra Pradesh, Arunachal Pradesh, Bihar, Chhattisgarh, Haryana, Jharkhand, Karnataka, Kerala, Manipur, Meghalaya, Mizoram, Punjab, Rajasthan and Tripura. Other States/UTs reported 0% performance.

5. State Water and Sanitation Mission (SWSM)

As a step towards achieving coordination and convergence among State Departments dealing with Rural Drinking Water Supply, Rural Sanitation, School Education, Health, Women and Child Development, Water Resources, Agriculture, etc. a State Water and Sanitation Mission (SWSM) headed by the Chief Secretary is to be set up by all States. It will guide for an integrated implementation and institutionalizing community participation under the NRDWP and Total Sanitation Campaign (TSC). It has to hold its meetings once in six months. The suggested agenda items are indicated in the Guidelines for effective functioning of SWSMs issued by the Department.

6. Support Fund and Water and Sanitation Support Organisation (WSSO)

There are many Support activities for which States require funds to achieve the long term goal of the sector. Thus support for information, education and communication, human resource development, water quality monitoring and surveillance, setting up water testing laboratories, engaging State Technical Agency and National Experts Groups for preparation of Projects, technical scrutiny and evaluation of rural water supply can be taken up under the 5% Support fund of NRDWP. Satellite-data imagery, GIS mapping systems, use of GPS system for unique identification of Habitations and water sources and delivery points, support for successfully deploying the central online monitoring system (IMIS) and such other activities can also be supported. The States are required to set up a Water and Sanitation Support Organization and recruit its staff to take up the support activities.

7. District Water and Sanitation Mission (DWSM)

A District Water and Sanitation Mission (DWSM) shall be constituted at the district level and should function under the supervision, control and guidance of Zilla Panchayat/ Parishad. Each DWSM may recruit about five Consultants in IEC, HRD, Sanitation, M&E and Hydrogeology. At the district level, convergence of all the other related programmes and funding should be ensured. Some of the major related programmes are, MNREGS, Integrated Watershed Management Programme projects, Central and State Finance Commission funds, NRHM, various Irrigation schemes, various schemes of the Ministry of Water Resources etc. It has to hold regular meetings and review the issues listed in the Guidelines for effective functioning of SWSM and DWSM.

8. Block Resource Centres (BRC)

Block Resource Centres (BRC) are the institutional set up at the block level to provide continuous support in terms of awareness generation, motivation, mobilization, training and handholding to village communities, GPs and VWSCs. The BRC will serve as an extended delivery arm of the District Water & Sanitation Mission in terms of software support and act as a link between it and the GPs/ VWSCs/ village communities. States have to recruit Co-ordinators and set up the BRCs early within the limit of NRDWP-Support funds available to them.

9. Special Provisions for SCs/ STs

The State/ UTs are required to earmark and utilize at least 25% of the NRDWP funds for drinking water supply to the Habitations dominated by SCs and another minimum 10% for the

ST-dominated Habitations. Where the percentage of SC or ST population in a particular State is higher, additional funds should be utilized. Percentage of funds utilized for SCs and STs is shown in Annexure-III.

States reported expenditure at least 35% or more :Andhra Pradesh, Arunachal Pradesh, Chhattisgarh, M.P., Meghalaya, Nagaland, Orissa Tripura and West Bengal.

States reported expenditure between 25-35%: Assam, Gujarat, Punjab, Rajasthan, UP., and Uttarakhand.

States reported expenditure below 25% : Bihar, Haryana, H.P., J&K, Jharkhand, Karnataka, Kerala, Maharashtra, Tamil Nadu, and Sikkim. Other States/UTs reported 0% expenditure.

States should spend at least 35% of NRDWP funds for coverage of SC & ST dominated habitations.

10. Hydro-geomorphologic maps (Groundwater Prospect Maps)

The Department has prioritized the preparation of hydro-geo-morphological (HGM) maps to assist the States through National Remote Sensing Centre, Hyderabad. With the use of these maps, field level engineers can identify groundwater sources for water supply systems and locations for constructing recharge structures to benefit existing water supply sources for sustainability. The status of the preparation of these maps is as follows :

- i) So far, about 3,000 maps have been prepared and handed over to 12 States namely Andhra Pradesh (part), Karnataka, Madhya Pradesh, Kerala, Chhattisgarh, Rajasthan, Gujarat, Orissa, Himachal Pradesh, Uttarakhand, Assam and Jharkhand.
- ii) Maps pertaining to Andhra Pradesh (remaining part), Maharashtra, Punjab, Haryana, West Bengal (part), Uttar Pradesh (part), Arunachal Pradesh and Jammu & Kashmir are under final stages of completion and shall be delivered to States before June 2011.
- iii) Under Phase-IV, the Department has also taken up HGM maps preparation in all remaining States and UTs including upgradation of HGM maps already prepared by TWAD Board in Tamil Nadu.

State PHEDs should use them for planning sites for sustainability structures and to locate spots for improving borehole drilling efficiency. State RD and Watershed Development departments should use these for locating recharge and water conservation structures under MNREGS and Watershed Development programmes.

11. Water Quality Monitoring and Surveillance

As per latest reports 674 District and 700 Sub district Level Water testing Laboratories have been reported to be set up. Till today, States have reported testing of 9.7 lakh drinking water sources in the country. Under the NRDWP all rural districts should have a water quality testing laboratory with qualified technicians and required equipment. Sub-district laboratories may also be commissioned wherever necessary. States viz., Goa, Haryana, J&K, Jharkhand, M.P., Maharashtra, Arunachal Pradesh, Manipur, Nagaland, Sikkim, A&N islands, Chandigarh,

D&N Haveli, Daman & Diu, Delhi and Puducherry have either not set up water testing laboratories in all districts or have not reported into the online IMIS. These States are requested to set up these remaining district labs in 2010-11. About 2.71 lakh field test kits and 580 lakh bacteriological kits have been distributed so far. Total 7.3 lakh drinking water samples were reported tested using field test kits of which about 10 % sources were found to be contaminated. All Gram Panchayats should have at least one FTK (field test kit) and it should be in the custody of an identified trained grass-root level worker like Anganwari worker, ASHA worker, school teacher, ex-serviceman, etc. Refills for these kits can be procured from 5% NRDWP-Support funds. It is necessary that all drinking water sources shall be tested once a year for chemical parameters and twice in a year for bacteriological parameter and send the positively tested samples to the laboratories for confirmation.

12. IEC and HRD activities

The Department developed and is airing audio and video spots with messages on safe drinking water, repair of hand pumps and water quality testing. In February, 2010, IEC guidelines were formulated and sent to States to help them to take up IEC activities with stakeholders. States and districts are required to take up IEC activities for creating awareness and demand for safe drinking water and sanitation.

National Key Resources Centres

The Department has identified 20 institutions/ organizations having domain knowledge and expertise in the drinking water sector and selected them as National Key Resource Centres (KRCs). The national KRCs will provide training, orientation and capacity development of engineers, PRI representatives and master trainers at State and District levels. They will be extending technical guidance to State Communication and Capacity Development Units (CCDU) of WSSOs for IEC and HRD activities.

13. Jalmani Installation of standalone water purification systems in rural schools

With the objective of providing children studying in water deficient rural schools with safe and clean drinking water the Jalmani programme was launched in 2008-09 for installation of standalone water purification systems in such schools. So far Rs. 200 crore has been released to States for covering 100,000 rural schools. Except Karnataka, all other States are yet to achieve the target even though more than 2 years have passed.

States viz., Bihar, Gujarat, M.P., Orissa, Tamil Nadu, U.P., Arunachal Pradesh and Tripura have reported achievement between 50-100% of their respective targets. States viz., Andhra Pradesh, Chhattisgarh, Goa, Haryana, J&K, Jharkhand, Kerala, Maharashtra, Punjab, Rajasthan, Uttarakhand, West Bengal, Assam, Manipur, Meghalaya, Mizoram, Nagaland and Sikkim have reported achievements below 50% of their respective targets. The State-wise details of funds released and number of schools to be covered under the programme are at Annex- IV. All States are requested to achieve 100% of their respective targets by March 2011.

14. Areas of concern which are common to all States is at Annex - V

15. State-specific major issues regarding rural drinking water supply is at Annex - VI

State-wise Financial performance under NRDWP
in 2010-11 Upto Nov'10

(Rs crore)

S. No.	State Name	Latest Reported Month	Opening Balance	Allocation	Release	Expenditure	%age Expen. against the central fund (OB + Allocation)
1	ANDAMAN and NICOBAR	-	0.00	1.01	0.00	0.00	0.00
2	ANDHRA PRADESH	November	213.45	491.02	392.06	253.56	35.99
3	ARUNACHAL PRADESH	November	6.76	123.35	114.92	43.15	33.16
4	ASSAM	November	59.76	449.64	437.48	189.23	37.15
5	BIHAR	November	574.50	341.46	0.00	182.46	19.92
6	CHANDIGARH	-	0.00	0.40	0.00	0.00	0.00
7	CHATTISGARH	November	56.36	130.27	116.10	52.31	28.03
8	DADRA & NAGAR HAVELI	-	0.00	1.09	0.00	0.00	0.00
9	DAMAN & DIU	-	0.00	0.61	0.00	0.00	0.00
10	DELHI	-	0.00	4.31	0.00	0.00	0.00
11	GOA	November	2.82	5.34	0.00	0.00	0.00
12	GUJARAT	October	61.57	542.67	451.98	234.18	38.76
13	HARYANA	November	75.63	233.69	114.05	88.71	28.68
14	HIMACHAL PRADESH	November	39.29	133.71	126.18	65.66	37.95
15	JAMMU AND KASHMIR	December	258.66	449.22	205.88	235.29	33.24
16	JHARKHAND	October	90.08	165.93	102.82	35.19	13.75
17	KARNATAKA	November	191.39	644.92	445.07	163.76	19.58
18	KERALA	November	6.58	144.28	136.76	58.02	38.46
19	LAKSHADWEEP	-	0.00	0.24	0.00	0.00	0.00
20	MADHYA PRADESH	November	68.49	399.04	346.23	167.79	35.89
21	MAHARASHTRA	November	232.44	733.27	463.72	357.17	36.99
22	MANIPUR	September	23.20	54.61	38.84	0.00	0.00
23	MEGHALAYA	September	11.11	63.49	61.88	31.94	42.82
24	MIZORAM	November	21.38	46.00	44.59	32.01	47.50
25	NAGALAND	November	4.69	79.51	37.77	24.14	28.67
26	ORISSA	December	61.62	204.88	199.76	116.92	43.87
27	PUDUCHERRY	-	0.00	1.54	0.00	0.00	0.00
28	PUNJAB	November	5.88	82.21	80.16	39.89	45.28
29	RAJASTHAN	December	336.48	1165.44	887.53	575.71	38.33
30	SIKKIM	October	6.36	26.24	12.47	10.44	32.01
31	TAMIL NADU	November	13.43	316.91	308.99	117.46	35.56
32	TRIPURA	November	19.44	57.17	55.66	35.98	46.97
33	UTTAR PRADESH	October	120.38	899.12	776.97	452.37	44.37
34	UTTARAKHAND	November	103.84	139.39	66.21	23.25	9.56
35	WEST BENGAL	November	47.34	418.03	397.13	233.63	50.20
	Total:		2712.91	8550.00	6421.18	3820.21	33.92

State-wise Target Habitation and Achievement under NRDWP in 2010-11 (Upto November 2010)

S.No.	State Name	20 Pt Target	0% Pop Covered Habitation as On 01/04/2010		0-25% Pop Covered Habitation as On 01/04/2010		25-50% Pop Covered Habitation as On 01/04/2010		50-75% Pop Covered Habitation as On 01/04/2010		75-100% Pop Covered Habitation as On 01/04/2010		100% Pop Covered Habitation as On 01/04/2010		Total Target	Total Ach	(%Ach)						
			Target	Ach	Target	Ach	Target	Ach	Target	Ach	Target	Ach	Target	Ach									
1	ANDHRA PRADESH	6673	1307	1296	21	4602	1535	75	8284	1321	150	10041	1259	132	10243	1211	142	37631	221	35	6843	555	8.11
2	BIHAR	18749	0	0	0	3272	1871	423	7180	3673	931	7878	3343	927	10791	4240	1093	78521	5647	1711	18774	5085	27.09
3	CHATTISGARH	9948	0	0	0	368	368	119	7371	2593	713	16710	5081	1092	15271	3336	858	32609	0	0	11378	2782	24.45
4	GOA	0	0	0	0	0	0	0	43	0	0	1	0	0	1	0	0	302	0	0	0	0	0
5	GUJARAT	1100	0	0	0	41	29	15	247	169	56	598	395	136	762	473	172	32767	48	23	1114	402	36.09
6	HARYANA	1007	0	0	0	42	42	8	107	107	12	383	382	91	1388	476	142	5465	0	0	1007	253	25.12
7	HIMACHAL PRADESH	5000	95	26	15	8238	2586	1477	4800	1180	711	3064	1073	611	590	134	76	36418	1	0	5000	2890	57.8
8	JAMMU AND KASHMIR	962	5174	1101	336	316	39	13	844	106	31	1037	121	30	1289	111	37	4166	231	67	1709	514	30.08
9	JHARKHAND	1099	72	72	35	21	21	5	268	267	44	953	942	66	1016	990	47	11731	12443	2236	14735	2433	16.51
10	KARNATAKA	8750	0	0	0	358	341	19	2724	2635	259	9925	2054	389	13960	2922	543	32236	5973	838	13925	2048	14.71
11	KERALA	744	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	11883	744	90	744	90	12.1
12	MADHYA PRADESH	13300	0	0	0	1735	1192	405	10108	3826	1436	26272	4832	1927	24020	2786	1093	65062	763	215	13399	5076	37.88
13	MAHARASHTRA	9745	0	0	0	985	542	264	9350	4090	2224	11501	4852	3371	817	261	130	75445	0	0	9745	5989	61.46
14	ORISSA	5494	353	303	124	2063	1066	418	24862	1463	660	37064	1734	804	14607	605	269	62979	183	69	5354	2344	43.78
15	PUNJAB	2023	1083	332	105	657	240	71	389	69	11	772	178	43	644	160	47	10974	1044	156	2023	433	21.4
16	RAJASTHAN	7764	38511	4078	740	6073	1590	238	4543	467	68	4361	343	113	2230	129	38	65415	2376	688	8983	1885	20.98
17	TAMIL NADU	8009	0	0	0	289	231	171	3910	3074	1987	4027	3217	1050	744	478	221	84729	0	0	7000	3429	48.99
18	UTTAR PRADESH	2142	0	0	0	0	0	0	0	0	0	2012	2011	614	11356	76	19	246742	55	17	2142	650	30.35
19	UTTARAKHAND	1565	4713	583	184	1025	201	64	2540	341	93	2310	223	69	2983	217	73	25571	0	0	1565	483	30.86
20	WEST BENGAL	6630	1744	1059	620	627	380	80	1805	653	28	7620	1333	110	607	8	2	82991	3197	1538	6630	2378	35.87
21	ARUNACHAL PRADESH	534	0	0	0	1747	167	61	700	161	23	542	95	19	185	44	4	2438	50	0	517	107	20.7
22	ASSAM	8157	14883	2268	783	10992	2498	676	7703	1424	531	8140	1506	563	3967	672	243	41291	0	0	8368	2796	33.41
23	MANIPUR	330	0	0	0	576	102	19	488	90	15	511	97	25	115	17	6	1180	27	7	333	72	21.62
24	MEGHALAYA	840	249	112	8	1123	341	66	1542	205	47	986	62	12	617	28	7	4809	12	6	760	146	19.21
25	MIZORAM	124	0	0	0	90	77	12	75	35	15	54	6	4	90	6	5	468	0	0	124	36	29.03
26	NAGALAND	105	244	36	4	35	8	1	24	5	1	58	3	0	33	4	1	992	49	26	105	33	31.43
27	SIKKIM	175	0	0	0	113	28	10	299	58	16	340	72	33	2	0	0	1744	17	7	175	66	37.71
28	TRIPURA	825	1919	269	42	149	16	1	466	42	6	1612	151	23	777	79	9	3209	277	69	834	150	17.99
29	ANDAMAN and NICOBAR	8	58	0	0	0	0	0	0	0	0	0	0	0	0	0	0	433	0	0	0	0	0
30	CHANDIGARH		18	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
31	DADRA & NAGAR HAVELI	0	70	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
32	DAMAN & DIU	0	21	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
33	DELHI	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
34	LAKSHADWEEP	10	9	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
35	PUDUCHERRY		0	0	0	0	0	0	0	0	0	0	0	0	1	1	0	247	16	0	17	0	0
TOTAL:		121812	70523	11535	3017	45537	15511	4711	100672	28054	10068	158772	35365	12254	119106	19464	5277	1166448	33374	7798	143303	43125	30.09

State-wise Financial Report for SC/ST Expenditure under
NRDWP in 2010-11 till November 2010

(in Rs crore)

S.No.	State Name	NRDWP Allocation	Release	SC Expen.	ST Expenditure	% of SC Expen.	% of ST Expen.	% of SC and ST expen.
1	ANDHRA PRADESH	43489.9	37627.1	4908.06	2519.97	25.22	12.95	38.17
2	BIHAR	32438.7	0	1827.36	0	10.02	0	10.02
3	CHATTISGARH	12375.65	11610.03	351.74	1458.19	7.76	32.15	39.91
4	GOA	507.3	0	0	0	0	0	0
5	GUJARAT	36128.65	36128.65	665.2	3509.11	4.86	25.62	30.48
6	HARYANA	11351.55	5980.14	1096	0	19.95	0	19.95
7	HIMACHAL PRADESH	12189.45	12027.47	267.31	0	4.64	0	4.64
8	JAMMU AND KASHMIR	41175.9	20587.95	1249.7	1508.83	6.7	8.09	14.79
9	JHARKHAND	15763.35	7881.68	16.65	158.09	0.5	4.71	5.21
10	KARNATAKA	46639.4	37192.94	570.58	315.98	4.77	2.64	7.41
11	KERALA	13706.6	13676.05	452.97	226.43	9.98	4.99	14.97
12	MADHYA PRADESH	37908.8	33625	3320.81	2748.18	25.15	20.81	45.96
13	MAHARASHTRA	69660.65	46371.92	3192.64	3681.76	11.21	12.93	24.14
14	ORISSA	19463.6	19463.6	1532.23	2069.23	17.58	23.74	41.32
15	PUNJAB	7809.95	7809.95	985.47	0	34.89	0	34.89
16	RAJASTHAN	66788.8	66788.8	4890.07	1948.8	24.61	9.81	34.42
17	TAMIL NADU	30106.45	30106.45	1122.54	67.63	10.94	0.66	11.6
18	UTTAR PRADESH	85416.4	75449.53	6832.28	2576.44	18.17	6.85	25.02
19	UTTARAKHAND	13242.05	6621.03	288.45	114.36	24.42	9.68	34.1
20	WEST BENGAL	39712.85	39712.85	5344.31	2137.71	25	10	35
21	ARUNACHAL PRADESH	11717.84	11491.49	0	3651.04	0	99.88	99.88
22	ASSAM	42715.71	42715.71	1412	3124.11	8.35	18.48	26.83
23	MANIPUR	5187.95	3884.4	0	0	0	0	0
24	MEGHALAYA	6031.05	6031.05	0	2989.37	0	96.82	96.82
25	MIZORAM	4369.83	4369.83	0	2169.76	0	100	100
26	NAGALAND	7553.12	3776.56	0	1501.63	0	100	100
27	SIKKIM	2493.03	1246.52	21.37	124.71	2.05	11.95	14
28	TRIPURA	5431.47	5431.47	416.47	744.51	14.16	25.32	39.48
29	ANDAMAN and NICOBAR	95.95	0	0	0	0	0	0
30	CHANDIGARH	38	0	0	0	0	0	0
31	DADRA & NAGAR HAVELI	103.55	0	0	0	0	0	0
32	DAMAN & DIU	57.95	0	0	0	0	0	0
33	DELHI	409.45	0	0	0	0	0	0
34	LAKSHADWEEP	22.8	0	0	0	0	0	0
35	PUDUCHERRY	146.3	0	0	0	0	0	0
	Total	722250	587608.17	40764.21	39345.84	14.53	14.03	28.56

**Jalmani - Installation of Standalone Water Purification
System in Rural Schools for Safe and Clean Drinking Water
to School Children**

S.No	Name of the State	Target (Number of schools to be covered)	Achievement (Number of schools covered)		Amount released (Rs. in lakh)	Amount utilised (as reported)	% of Utilisation
		Total (2008-2010)	Total	% of Achievement	Total		
1	ANDHRA PRADESH	9618	2642	27.47	1,923.45	255.59	13.29
2	BIHAR	3831	1970	51.42	766.16	407.39	53.17
3	CHHATTISGARH	964	NR	0.00	192.74	0.00	0.00
4	GOA	44	NR	0.00	8.75	0.00	0.00
5	GUJARAT	8829	7288	82.55	1,765.96	522.73	29.60
6	HARYANA	873	NR	0.00	174.57	0.00	0.00
7	HIMACHAL PRADESH	3745	464	12.39	749.05	36.47	4.87
8	JAMMU AND KASHMIR	2180	NR	0.00	435.92	0.00	0.00
9	JHARKHAND	1253	1	0.08	250.59	0.00	0.00
10	KARNATAKA	6143	8243	134.19	1,228.40	516.93	42.08
11	KERALA	1282	NR	0.00	256.4	0.00	0.00
12	MADHYA PRADESH	2734	2400	87.78	546.87	100.43	18.36
13	MAHARASHTRA	8348	1595	19.11	1,669.64	44.43	2.66
14	ORISSA	3460	2643	76.39	692.16	283.13	40.90
15	PUNJAB	2722	980	36.00	544.49	118.49	21.76
16	RAJASTHAN	3443	711	20.65	688.66	0.00	0.00
17	TAMIL NADU	8500	7989	93.99	1,699.85	252.58	14.86
18	UTTAR PRADESH	13784	8280	60.07	2,756.90	1341.00	48.64
19	UTTARAKHAND	711	215	30.24	142.3	0.00	0.00
20	WEST BENGAL	6032	252	4.18	1,206.48	193.63	16.05
21	ARUNACHAL PRADESH	264	132	50.00	52.66	21.28	40.41
22	ASSAM	7048	748	10.61	1,409.64	144.42	10.25
23	MANIPUR	552	70	12.68	110.24	23.00	20.86
24	MEGHALAYA	919	274	29.82	183.83	48.30	26.27
25	MIZORAM	983	373	37.95	196.64	13.64	6.94
26	NAGALAND	496	115	23.19	99.18	49.59	50.00
27	SIKKIM	440	176	40.00	87.89	14.57	16.58
28	TRIPURA	802	538	67.08	160.56	60.00	37.37
	TOTAL	1,00,000	48,099	48.10	19,999.98	4,447.59	22.24

Common Area of Concerns for all States

1. Meetings of State Water and Sanitation Missions headed by Chief Secretary/ACS/ Development Commissioner need to be more regular
2. Bihar, Jharkhand, Uttarakhand and Goa have not given proposals for release of 1st/ 2nd installment.
3. Sustainability plan for sustainability of drinking water sources may be prepared by convergence among MGNREGS, IWMP and other watershed related programmes
4. Model Bill to Regulate and Control Development of Ground Water enacted by the states of Andhra Pradesh, Goa, Tamil Nadu, Kerala, West Bengal, Himachal Pradesh and Union Territories of Lakshadweep and Pondicherry (Source : CGWB website). Other States may also enact. Bills based on Model Bill prepared by Minister of Water Resources.
5. Convergence between safe drinking water, good sanitation behavior, nutrition, health and hygiene to be discussed in SWSM & DWSM meetings.
6. In States where electricity tariff levied for rural drinking water supply schemes is higher than domestic rates, there are issues of non functioning systems due to non payment of dues. Such States may like to reduce these rates to domestic rates or lower.
7. Recruitment Consultants for WSSO & DWSM and staff for BRC to be completed.
8. Draw up plan to tackle all water quality affected habitations by 2011-12. Identify all possible safe water sources in water quality affected habitations & generate awareness for consuming drinking water only from these sources
9. Recruit adequate trained staff for Water Quality Testing Laboratories at State, district & sub divisional level.
10. School water supply and toilets to be made functional in all schools by March'12.
11. Standalone water purification systems to be installed under Jalmani in rural schools which are prone to bacterial contamination/iron or turbidity.
12. T.S.C to be launched on a Mission mode with District Magistrates taking lead. Political leadership also to be involved including PRIs.

Major issues regarding Rural Drinking Water Supply in the States are:

1. ANDHRA PRADESH

1. SWSM meetings chaired by Chief Secretaries should take place once in 6 months. The State level Water Quality Review Committee should inform about the latest developments on Water Quality issues in the States.
2. Against 20 point target of 6673 habs., achievement is 628. All districts have reported less than 40% achievement.
3. Expenditure is 46.99% out of available funds so far no district has reported less than 40% Utilization.
4. Out of target of covering 810 quality affected habitations only 19 (2.34%) have been covered so far.
5. Against target of 25 %/ 10% expenditure on SC/ST habitations 25.30 %/13.27% expenditure is reported.
6. Out of 20% allocation of Rs. 9.82crore for Sustainability nil expenditure reported so far.
7. Out of 405635 sources only 130676 have been tested so far in the laboratories. All sources should be tested once a year for chemical contamination and twice a year bacteriological Contamination.
8. Under the Jalmani scheme, out of a target of 9618 schools, 2642 Installations of Water purification equipment in schools are reported.
9. The proposal of setting up Regional Fluorosis Mitigation Centre at Hyderabad is pending since 2 years. Addateegala, Paderu and other agency areas are likely to have dissolved iron in excess in ground water. These sources have to be tested immediately for confirmation.

2. BIHAR

1. SWSM meetings chaired by Chief Secretaries should take place once in 6 months. The State level Water Quality Review Committee should inform about the latest developments on Water Quality issues in the States.
2. Proposal for release of 1st installment under NRDWP has not been submitted.
3. Against 20 point target of 18749 habs. , achievement is 5390. Districts of Araria, Aurangabad, Banka, Begusarai, Darbhanga, Gopalganj, Jamui, Kaimur (Bhabua), Katihar, Khagaria, Lakhisarai, Madhepura, Munger, Nawada, Purba Champaran (Motihari), Purnia, Rohtas, Saharsa ,Samastipur ,Saran, Sheikhpura, Siwan and Supaul have reported less than 40% achievement .

4. Expenditure is 31.86% out of available funds so far Districts of Araria, Arwal, Aurangabad, Banka, Bhojpur(Aara), Darbhanga, Jehanabad, Kaimur (Bhabua), Khagaria, Lakhisarai, Munger, Nalanda, Nawada, Pashchim Champaran, Purba Champaran (Motihari), Rohtas, Saran, Sitamarhi, Siwan and Supaul have reported less than 40% Utilization.
5. Out of target of covering 7909 quality affected habitations only 1251 (15.82%) have been covered so far.
6. Against target of 25 %/ 10% expenditure on SC/ST habitations only 10.02 % /0.00% expenditure is reported.
7. Out of 20% allocation of Rs. 68.29 Core for Sustainability NIL expenditure reported so far.
8. Out of 116431 sources only 40598 have been tested so far in the laboratories. All sources should be tested once a year for chemical contamination and twice a year bacteriological Contamination.
9. Under the Jalmani scheme, out of a target of 3831 schools, 1970 installations of Water purification equipment in schools are reported.
10. Problem of poor financial performance.
11. Insitu arsenic & fluoride remediation must have a proper O&M protocol.

3. CHHATTISGARH

1. SWSM meetings chaired by Chief Secretaries should take place once in 6 months. The State level Water Quality Review Committee should inform about the latest developments on Water Quality issues in the States.
2. Against 20 point target of 9948 habs., achievement is 2888. districts Bastar, Bijapur, Bilaspur, Dantewada, Durg, Janjgir-Champa, Jashpur, Kanker, Kawardha, Korba, Koriya, Mahasamund, Narayanpur, Raigarh, Rajnandagon And Surguja have reported less than 40% achievement.
3. Expenditure is 31.16% out of available funds so far Districts of Dantewada, Jashpur, Kanker, Kawardha, Korba, Narayanpur have reported less than 40% Utilization.
4. Out of target of covering 3426 quality affected habitations only 552(16.11%) have been covered so far.
5. Against target of 25 %/ 10% expenditure on SC/ST habitations only 7.76 % /32.15% expenditure is reported.
6. Out of 20% allocation of Rs. 26.05 crore for Sustainability NIL expenditure reported so far.
7. Out of 128591 sources only 41979 have been tested so far in the laboratories. All sources should be tested once a year for chemical contamination and twice a year bacteriological Contamination.

8. Under the Jalmani scheme, out of a target of 964 schools, Nil Installations of Water purification equipment in schools are reported.
9. Enactment of Ground Water Bill- to be enacted.

4. GUJARAT

1. SWSM meetings chaired by Chief Secretaries should take place once in 6 months. The State level Water Quality Review Committee should inform about the latest developments on Water Quality issues in the States.
2. Against 20 point target of 1100 habs., achievement is 368. Districts Banas Kantha, Dang, Jamnagar, Junagadh, Kheda, Narmada, Navsari, Sabar Kantha, Vadodara and Valsad have reported less than 40% achievement .
3. Expenditure is 43.60% out of available funds so far.
4. Out of target of covering 391 quality affected habitations 152(38.87%) have been covered so far.
5. Against target of 25 %/ 10% expenditure on SC/ST habitations only 4.86 % /25.62% expenditure is reported.
6. Out of 20% allocation of Rs. 108.53 crore for Sustainability NIL expenditure reported so far.
7. Out of 162871 sources only 47143 have been tested so far in the laboratories. All sources should be tested once a year for chemical contamination and twice a year bacteriological Contamination.
8. Quality problems in ground water based drinking water sources (fluoride ,arsenic and salinity)
9. The proposal of setting up Regional Fluorosis Mitigation Centre at Gandhinagar is pending since 2 years

5. HARYANA

1. SWSM meetings chaired by Chief Secretaries should take place once in 6 months. The State level Water Quality Review Committee should inform about the latest developments on Water Quality issues in the States.
2. Against 20 point target of 1007 habs., achievement is 368. Districts Bhiwani, Faridabad ,Fatehabad, Gurgaon , Hisar , Jhajjar, Jind, Kaithal, Karnal, Mahendragarh, Mewat, Palwal, Panipat, Rewari, Sirsa and Sonipat have reported less than 40% achievement .
3. Expenditure is 47.04% out of available funds so far Districts of Bhiwani, Faridabad, Fatehabad, Gurgaon, Hisar, Jhajjar, Kaithal, Mahendragarh, Mewat, Palwal, Panchkula, Panipat, Sonipat and Yamunanagar have reported less than 40% Utilization.
4. Out of target of covering 36 quality affected habitations only, 3 (8.33%) have been Covered so far.

5. Against target of 25 %/ 10% expenditure on SC/ST habitations only 19.99 % / 0.00% expenditure is reported.
6. Out of 20% allocation of Rs. 46.74 crore for Sustainability NIL expenditure reported so far.
7. Against target for formation of VWSC, nil achievement is reported so far.
8. Out of 19803 sources only 3237 have been tested so far in the laboratories. All sources should be tested once a year for chemical contamination and twice a year bacteriological Contamination.
9. Under the Jalmani scheme, out of a target of 873 schools, nil installation of Water purification equipment in schools is reported.
10. Over-exploitation of ground water (needs utmost attention on ground water recharge).
11. Enactment of Bill to control Ground Water Development on the lines of Model Bill circulated by Ministry of Water Resources is required.

6. HIMACHAL PRADESH

1. SWSM meetings chaired by Chief Secretaries should take place once in 6 months. The State level Water Quality Review Committee should inform about the latest developments on Water Quality issues in the States.
2. Against 20 point target of 5000 habs., achievement is 2466. Districts of Shimla & Kullu have reported less than 40% achievement.
3. Expenditure is 39.90% out of available funds so far.
4. Out of target of covering 42 quality affected habitations nil progress reported so far.
5. Against target of 25 %/ 10% expenditure on SC/ST habitations only 4.64 % / 0.00% expenditure is reported.
6. Out of 20% allocation of Rs. 26.74 crore for Sustainability NIL expenditure reported so far.
7. Against target for formation of 861 VWSC, nil achievement is reported so far.
8. Out of 92030 sources only 2461 have been tested so far in the laboratories. All sources should be tested once a year for chemical contamination and twice a year bacteriological Contamination.
9. Under the Jalmani scheme, out of a target of 3745 schools, no installation of Water purification equipment in schools is reported.

7. JAMMU & KASHMIR

1. SWSM meetings chaired by Chief Secretaries should take place once in 6 months. The State level Water Quality Review Committee should inform about the latest developments on Water Quality issues in the States.

2. Against 20 point target of 962 habs., achievement is 472. Districts of Anantnag, Bandipora, Budgam, Doda, Jammu, Kargil, Kathua, Kulgam, Kupwara, Leh (Ladakh), Poonch, Pulwama, Ramban, Shopian, Srinagar, Udhampur have reported less than 40% achievement.
3. Expenditure is 49.06% out of available funds so far.
4. Out of target of covering 310 quality affected habitations nil progress reported so far.
5. Against target of 25 %/ 10% expenditure on SC/ST habitations only 6.92 % / 8.27% expenditure is reported.
6. Out of 20% allocation of Rs. 89.84 crore for Sustainability NIL expenditure reported so far.
7. Against target for formation of 999 VWSCs, nil achievement is reported so far.
8. Out of 6658 sources nil have been tested so far in the laboratories. All sources should be tested once a year for chemical contamination and twice a year bacteriological Contamination.
9. Under the Jalmani scheme, out of a target of 2180 schools, nil installation of Water purification equipment in schools is reported.
10. Focus on development of snow dam in upper reaches should be made mandatory as a part of sustainability.
11. Kandi area development plan for provide safe drinking water needs to be expedited.

8. JHARKHAND

1. SWSM meetings chaired by Chief Secretaries should take place once in 6 months. The State level Water Quality Review Committee should inform about the latest developments on Water Quality issues in the States.
2. Proposal for release of 2nd installment under NRDWP not received so far.
3. Against 20 point target of 1099 habs., achievement is 2854. All districts except Bokaro and Sareikela & Kharsawan have reported less than 40% achievement.
4. Expenditure is 18.56% out of available funds so far. Districts of Garhwa, Hazaribag, Latehar, Pakur, Paschim Singhbhum and Ramgarh have reported less than 40% Utilization
5. Out of target of covering 432 quality affected habitations 183(42.36%) have been Covered so far.
6. Against target of 25 %/ 10% expenditure on SC/ST habitations only 0.50 % /4.71% expenditure is reported.
7. Out of 20% allocation of Rs. 33.2 crore for Sustainability NIL expenditure reported so far
8. Against target for formation of 999 VWSC, NIL achievement is reported so far.
9. Out of 162489 sources only 3056 have been tested so far in the laboratories. All sources

should be tested once a year for chemical contamination and twice a year bacteriological Contamination.

10. Under the Jalmani scheme, out of a target of 1253 schools, only 1 installation of Water purification equipment in school is reported.
11. State Specific problem: Not able to lift second installment funds.
12. Problem in matching State share.
13. Enactment of Ground Water Bill- The draft Bill to regulate and Control the Development and management of ground water is in the last stage of approval.

9. KARNATAKA

1. SWSM meetings chaired by Chief Secretaries should take place once in 6 months. The State level Water Quality Review Committee should inform about the latest developments on Water Quality issues in the States.
2. As against 20 point target of 8750 habitations and target shown on IMIS as 13,925 habitations, achievement is only 2048 habitations (14.71 %). All districts except Gadag and Yadgir have reported less than 40% achievement.
3. Expenditure is only 25.94 % out of available funds of 63127.16 lakh. 13 out of 31 districts have reported less than 40% utilization.
4. Out of target of covering 4002 water quality affected habitations, only 499 (12.46 %) have been covered so far.
5. As against target of 25 %/ 10% expenditure on SC/ST habitations, only 4.77 % /2.64% expenditure is reported.
6. Out of 20% allocation, i.e. Rs. 129.0 crore for Sustainability, only Rs 24.53 lakh expenditure reported so far.
7. Out of 1,41,704 sources, only 38,765 have been tested so far in the laboratories. All sources should be tested once a year for chemical contamination and twice a year bacteriological Contamination.
8. Under Jalmani programme, out of a target of installation of water treatment system in 6143 rural schools, achievement is very good at 7949.
9. State specific problem: Poor performance in solving water quality problems due to capital intensive projects.
10. Enactment of Ground water Bill: in advanced stages. The State cabinet has approved the " Karnataka Ground Water (Regulation and Control of Development and Management) Bill , 2007. May be enacted and enforced early.
11. Gulbarga & adjoining districts reported arsenic in drinking water. Thorough examination is required to know the actual extent of area affected.

10. KERALA

1. SWSM meetings chaired by Chief Secretaries should take place once in 6 months. The State level Water Quality Review Committee should inform about the latest developments on Water Quality issues in the States.
2. As against 20 point target of 744 habitations., achievement is only 90 habitations (12.1 %). All districts except Palakkad have reported less than 40% achievement.
3. Expenditure is 41.78 % out of available funds of Rs 13885.42 lakh.
4. Out of target of covering 47 water quality affected habitations, only 03 water quality affected habitations (6.38%) have been covered so far.
5. As against target of 25 %/ 10% expenditure on SC/ST habitations, only 9.98 % /4.99 % expenditure is reported.
6. Out of 20% allocation i.e. Rs. 28.9 crore for Sustainability, nil expenditure reported so far.
7. Out of 29,949 sources only 13,215 have been tested so far in the laboratories. All sources should be tested once a year for chemical contamination and twice a year bacteriological Contamination.
8. Under Jalmani programme, out of a target of installation of water treatment system in 1282 rural schools, no achievement has been reported.
9. Legislation for Groundwater Management : Bill already enacted for critical blocks.
10. Effective implementation is required since many parts of the State are reaching the stage of over-exploitation
11. More than Rs.700 crore worth projects are ongoing since long. State to devise a strategy to complete these early.

11. MADHYA PRADESH

1. SWSM meetings chaired by Chief Secretaries should take place once in 6 months. The State level Water Quality Review Committee should inform about the latest developments on Water Quality issues in the States.
2. No of Districts-50 No of Blocks- 313 [Semi-Critical-6%, Critical-2%, Over-Exploited-8%] Panchayats-22961.
3. As against 20 point target of 13,300 habitations., achievement is 5076 habitations(37.88 %). 31 out of 50 districts have reported less than 40% achievement. Poor performance in NC/PC habitations.
4. Expenditure is 40.69 % out of available funds of Rs 41236.42 lakh. Only 3 out of 51 districts have reported less than 40% utilization.
5. Out of target of covering 700 water quality affected habitations, only 113 water quality affected habitations (16.14 %) have been covered so far.

6. As against target of 25 %/ 10% expenditure on SC/ST habitations only 25.15 % / 20.81 % expenditure is reported.
7. Out of 20% allocation i.e. Rs. 79.8 crore for Sustainability, nil expenditure reported so far.
8. State has not reported any target on IMIS for formation of VWSC. Accordingly, achievement has also not been reported.
9. Out of 4,10,286 sources, only 60,529 have been tested so far in the laboratories. All sources should be tested once a year for chemical contamination and twice a year bacteriological Contamination.
10. Under Jalmani programme, out of a target of installation of water treatment system in 2734 schools, achievement is 2326 .
11. State specific problem: Reaching the stage of over-exploitation, poor performance for coverage.

12. MAHARASHTRA

1. SWSM meetings chaired by Chief Secretaries should take place once in 6 months. The State level Water Quality Review Committee should inform about the latest developments on Water Quality issues in the States.
2. As against 20 point target of 9745 habitations., achievement is 5181 habitations(53.17 %). 5 out of 33 districts have reported less than 40% achievement .
3. Expenditure is 52.12% out of available funds of Rs 68522.46 lakh .
4. Out of target of covering 4124 water quality affected habitations, only 1119 water quality affected habitations (27.13%) have been covered so far.
5. As against target of 25 %/ 10% expenditure on SC/ST habitations only 11.21 % /12.93 % expenditure is reported.
6. Out of 20% allocation i.e. Rs. 146.7 crore for Sustainability, nil expenditure reported so far.
7. Out of 87,814 sources, only 3,433 have been tested so far in the laboratories. All sources should be tested once a year for chemical contamination and twice a year bacteriological Contamination.
8. Under Jalmani programme, out of a target of installation of water treatment system in 8348 schools, achievement is 1612.
9. Legislation for Groundwater Management: Enactment of bill is in advanced stage. Needs to be enacted and enforced early since many parts of the state are reaching the stage of over-exploitation.

13. ORISSA

1. SWSM meetings chaired by Chief Secretaries should take place once in 6 months. The State level Water Quality Review Committee should inform about the latest developments on Water Quality issues in the States.
2. As against 20 point target of 5494 habitations., achievement is 2005 habitations(37.45 %). 16 out of 40 districts have reported less than 40% achievement.
3. Expenditure is 43.86 % out of available funds of Rs 25311.11 lakh.
4. Out of target of covering 1721 water quality affected habitations, only 626 water quality affected habitations (36.37 %) have been covered so far.
5. As against target of 25 %/ 10% expenditure on SC/ST habitations ,16.99 % /23.82 % expenditure is reported.
6. Out of 20% allocation i.e. Rs. 41.00 crore for Sustainability, nil expenditure reported so far.
7. As against target for formation of 8000 VWSC, no achievement has been reported so far.
8. Out of 4,05,350 sources, only 1,46,138 have been tested so far in the laboratories. All sources should be tested once a year for chemical contamination and twice a year bacteriological Contamination.
9. Under Jalmani programme, out of a target of installation of water treatment system in 3460 rural schools, achievement is 2063.
10. Legislation for Groundwater Management : Enactment of bill is in advanced stage.
11. Needs to be enacted and enforced early.
12. State specific problem: Largest number of iron affected habitations in India, Poor performance in tackling quality affected habitations.

14. PUNJAB

1. SWSM meetings chaired by Chief Secretaries should take place once in 6 months. The State level Water Quality Review Committee should inform about the latest developments on Water Quality issues in the States.
2. As against 20 point target of 2023 habitations. , achievement is only 433 habitations(21.4 %). All districts have reported less than 40% achievement.
3. Expenditure is 49.76 % out of available funds Rs 3988.50 lakh.
4. Out of target of covering 392 water quality affected habitations, only 28 water quality affected habitations (7.14 %) have been covered so far.
5. As against target of 25 %/ 10% expenditure on SC/ST habitations only 34.89 % /0 % expenditure is reported.

6. Out of 20% allocation i.e. Rs. 16.4 crore for Sustainability, nil expenditure reported so far.
7. Out of 24,104 sources, only 4,886 have been tested so far in the laboratories. All sources should be tested once a year for chemical contamination and twice a year bacteriological Contamination.
8. Under Jalmani programme, out of a target of installation of water treatment system in 2722 rural schools, achievement is 980.
9. Enactment of Ground water Bill : No efforts for adopting the Model Bill in spite of 3/4th of the state being over exploited category.
10. State specific problem: Overexploitation of Ground-water and extra deep tube-wells. Also, increasing number of new water quality problems like selenium and uranium in ground-water.
11. All border districts have dissolves iron in shallow hand pumps. State should focus on providing deep hand pump based stand posts and/or tap connections in each households.

15. RAJASTHAN

1. SWSM meetings chaired by Chief Secretaries should take place once in 6 months. The State level Water Quality Review Committee should inform about the latest developments on Water Quality issues in the States.
2. As against 20 point target of 7764 habitations, and target shown on IMIS as 8983 habitations, achievement is only 1885 habitations(20.98 %). 30 out of 32 districts have reported less than 40% achievement.
3. Expenditure is 37.69 % out of available funds of Rs 46117.50 lakh. 11 out of 32 districts have reported less than 40% utilization.
4. Huge number of water quality affected habitations. Out of target of covering 3977 water quality affected habitations, only 802 water quality affected habitations (20.16 %) have been covered so far.
5. As against target of 25 %/ 10% expenditure on SC/ST habitations, 24.57 % / 9.79 % expenditure is reported.
6. Out of 20% allocation i.e. Rs. 233.10 crore for Sustainability, Rs 59.18 lakh expenditure reported so far.
7. As against target for formation of 200 VWSC, no achievement has been reported so far.
8. Out of 1, 61,083 sources, only 75,031 have been tested so far in the laboratories. All sources should be tested once a year for chemical contamination and twice a year bacteriological Contamination.
9. Under Jalmani programme, out of a target of installation of water treatment system in 3443 rural schools, achievement is only 711.

10. State specific problem: focus on massive projects requiring huge funds, has water scarcity problems and large number of water quality problems.
11. Enactment of Ground water Bill: The State government of Rajasthan has presented "The Rajasthan Ground Water Management Bill 2006" in the Vidhan Sabha and was referred to the select committee. The bill is under consideration of the select committee. Needs to be enacted early because nearly 60 % of blocks are in over exploited category.

16. TAMILNADU

1. SWSM meetings chaired by Chief Secretaries should take place once in 6 months. The State level Water Quality Review Committee should inform about the latest developments on Water Quality issues in the States.
2. Against 20 point target of 8009 habs. and target shown on IMIS as 7000 habs. , achievement is only 2161 .District namely Ariyalur,Perambalur ,Pudukkottai, Thanjavur ,Tirunelveli, Trippur and Virudhunagar have reported less than 30% achievement .
3. Expenditure is less than 20% reported out of available funds for district of Ramanathapuram.
4. Out of target of covering 1009 quality affected habitations only 89 (8.89%) have been covered so far.
5. Against target of 25 % / 10% expenditure on SC/ST habitations only 10.94 % /0.66% expenditure is reported.
6. Out of 20% allocation of Rs. 63.38 crore for Sustainability NIL expenditure reported so far.
7. Against plan to utilize Rs 15.84 crore (5% of total allocation) for support activities so far the progress is Rs. 4.61 crore only.
8. Out of 392998 sources 224316 have been tested so far in the laboratories. All sources should be tested once a year for chemical contamination and twice a year bacteriological Contamination.
9. Under the Jalmani scheme, out of a target of 8500 schools, 7928 achievement reported is good.
10. Funds released to TWAD Board for updating HGM maps should be utilized quickly & complete these maps under inspection of NRSC, ISRO.

17. UTTAR PRADESH

1. SWSM meetings chaired by Chief Secretaries should take place once in 6 months. The State level Water Quality Review Committee should inform about the latest developments on Water Quality issues in the States.
2. As against 20 point target of 2142 habitations., achievement is only 650 habitations(30.35 %). 50 out of 70 districts have reported less than 40% achievement.

3. Expenditure is 48.49 % out of available funds of Rs 9390.63 lakh. UP has not reported expenditure on online IMIS.
4. Out of target of covering 2142 water quality affected habitations, only 633 water quality affected habitations (29.55 %) have been covered so far.
5. As against target of 25 %/ 10% expenditure on SC/ST habitations, only 18.17 % / 6.85 % expenditure is reported.
6. Out of 20% allocation i.e. Rs. 179.80 crore for Sustainability, nil expenditure reported so far.
7. Out of 6,86,924 sources, only 23,763 have been tested so far in the laboratories. All sources should be tested once a year for chemical contamination and twice a year bacteriological Contamination.
8. Under Jalmani programme, out of a target of installation of water treatment system in 13,784 schools, achievement is 8280.
9. State specific problem: Installation of unmanageable number of handpumps, water quality problems in ground water based drinking water sources.
10. Enactment of Ground water Bill: yet to be enacted.

18. UTTARAKHAND

1. SWSM meetings chaired by Chief Secretaries should take place once in 6 months. The State level Water Quality Review Committee should inform about the latest developments on Water Quality issues in the States.
2. Very low expenditure of only 14.15 % Lowest among all states. State is unable to draw its 2nd installment due to low expenditure.
3. As against 20 point target of 1565 habitations., achievement is 483 habitations (30.86 %). 10 out of 13 districts have reported less than 40% achievement .
4. Expenditure is 14.15 % out of available funds of Rs 16434.01 lakh so far. All 14 districts have reported less than 40% utilization.
5. As against target of 25 %/ 10% expenditure on SC/ST habitations, only 24.42 % / 9.68 % expenditure is reported.
6. Out of 20% allocation i.e. Rs. 27.90 crore for Sustainability, no expenditure reported so far.
7. As against target for formation of 150 VWSC, no achievement has been reported so far.
8. Out of 26,700 sources, only 664 have been tested so far in the laboratories. All sources should be tested once a year for chemical contamination and twice a year bacteriological Contamination.
9. Under Jalmani programme, out of a target of installation of water treatment system in 711 schools, achievement is only 215.

19. WEST BENGAL

1. SWSM meetings chaired by Chief Secretaries should take place once in 6 months. The State level Water Quality Review Committee should inform about the latest developments on Water Quality issues in the States.
2. Against 20 point target of 6630 habs., achievement is 2405. Districts Murshidabad, Nadia and North 24 Paraganas have reported less than 40% achievement.
3. Expenditure is 55.41 % out of available funds so far.
4. Out of target of covering 5304 quality affected habitations only 778 (14.67%) have been covered so far.
5. Against target of 25 %/ 10% expenditure on SC/ST habitations, 25.0 %/10.00% expenditure is reported.
6. Out of 20% allocation of Rs. 83.61 crore for Sustainability NIL expenditure reported so far.
7. Against target for formation of 120 VWSC, NIL achievement is reported so far.
8. Out of 113924 sources only 80549 have been tested so far in the laboratories. All sources should be tested once a year for chemical contamination and twice a year bacteriological Contamination.
9. Under the Jalmani scheme, out of a target of 6032 schools, only 252 installation has reported of Water purification equipment in schools are reported.
10. Enactment of Ground Water bill: West Bengal Ground Water Resources (Management, control and Regulation) Act, 2005 came in to effect on 15.09.2005. Rules under the Act have also been framed by the State govt.
11. Good strategy to tackle arsenic-affected areas by alternate PWS schemes, Lowest cost of production of water, PWS schemes managed with very less manpower, Excellent system of managing Sub-Divisional Water Testing Laboratories.

20. ARUNACHAL PRADESH

1. SWSM meetings chaired by Chief Secretaries should take place once in 6 months. The State level Water Quality Review Committee should inform about the latest developments on Water Quality issues in the States.
2. Against 20 point target of 534 habs., achievement is only 107. Districts Anjaw, Changlang, Dibang Valley, East Siang, Kurung Kumey, Lohit, Lower Dibang Valley, Papum Pare (Itanagar), Tirap, West Kameng and West Siang have reported less than 40% achievement.
3. Expenditure is 35.46 % out of available funds so far Only district East Kameng has reported less than 40% Utilization.
4. Out of target of covering 264 quality affected habitations 8 (3.03%) have been covered so far.

5. Against target of 25 %/ 10% expenditure on SC/ST habitations 0.00 % /99.88% expenditure is reported.
6. Out of 20% allocation of Rs. 24.67 crore for Sustainability Nil expenditure reported so far.
7. Against 500 target for formation of VWSC, Nil achievement is reported so far.
8. Out of 22428 sources only 809 have been tested so far in the laboratories. All sources should be tested once a year for chemical contamination and twice a year bacteriological Contamination.
9. Under the Jalmani scheme, out of a target of 264 schools, 132 installations are reported of Water purification equipment in schools are reported.

21. ASSAM

1. SWSM meetings chaired by Chief Secretaries should take place once in 6 months. The State level Water Quality Review Committee should inform about the latest developments on Water Quality issues in the States.
2. Against 20 point target of 8157 habs., achievement is 2915. District Baksha, Bongaigaon, Cachar, Chirang, Dhemaji, Dhubri, Dibrugarh, Goalpara, Golaghat, Hailakandi, Jorhat, Karbi Anglong, Kokrajhar, Marigaon, Nagaon, North Cachar Hills and Sibsagar have reported less than 40% achievement.
3. Expenditure is 36.45% out of available funds.
4. Out of target of covering 3515 quality affected habitations 1282(36.47%) have been covered so far.
5. Against target of 25 %/ 10% expenditure on SC/ST habitations only Nil % /Nil% expenditure is reported.
6. Out of 20% allocation of Rs. 89.93 crore for Sustainability NIL expenditure reported so far.
7. Out of 137563 sources only 8188 have been tested so far in the laboratories. All sources should be tested once a year for chemical contamination and twice a year bacteriological Contamination.
8. Under the Jalmani scheme, out of a target of 7048 schools, only 748 installations are reported of Water purification equipments in school

22. MANIPUR

1. SWSM meetings chaired by Chief Secretaries should take place once in 6 months. The State level Water Quality Review Committee should inform about the latest developments on Water Quality issues in the States.
2. Against 20 point target of 330 habs., achievement is only 75. All districts have reported less than 40% achievement.

3. Expenditure is not reported on IMIS.
4. Against target of 25 %/ 10% expenditure on SC/ST habitations only Nil expenditure is reported.
5. Out of 20% allocation of Rs. 10.92 crore for Sustainability NIL expenditure reported so far.
6. Against target for formation of VWSC, NIL achievement is reported so far.
7. Out of 5537 sources only 5 have been tested so far in the laboratories. All sources should be tested once a year for chemical contamination and twice a year bacteriological Contamination.
8. Under the Jalmani scheme, out of a target of 552 schools, only 70 installations are reported of Water purification equipment in school

23. MEGHALAYA

1. SWSM meetings chaired by Chief Secretaries should take place once in 6 months. The State level Water Quality Review Committee should inform about the latest developments on Water Quality issues in the States.
2. Against 20 point target of 840 habs., achievement is only 157. All district have reported less than 40% achievement .
3. Expenditure is 43.82% out of available funds so far.
4. Out of target of covering 29 quality affected habitations only 5 (0.56%) have been covered so far.
5. Against target of 25 %/ 10% expenditure on SC/ST habitations only 0 % /96.82% expenditure is reported.
6. Out of 20% allocation of Rs. 1.27 crore for Sustainability nil expenditure reported so far.
7. Against 271 target for formation of VWSC, nil achievement is reported so far.
8. Out of 25845 sources only 1078 have been tested so far in the laboratories. All sources should be tested once a year for chemical contamination and twice a year bacteriological Contamination.
9. Under the Jalmani scheme, out of a target of 919 schools, only 274 installations are reported of Water purification equipment in school.

24. MIZORAM

1. SWSM meetings chaired by Chief Secretaries should take place once in 6 months. The State level Water Quality Review Committee should inform about the latest developments on Water Quality issues in the States.
2. Against 20 point target of 124 habs., achievement is only 36. All district except Kolasib have reported less than 40% achievement .

3. Expenditure is 48.52% out of available funds so far .
4. Out of 20% allocation of Rs. 9.82crore for Sustainability nil expenditure reported so far.
5. Out of 405635 sources only 130676 have been tested so far in the laboratories. All sources should be tested once a year for chemical contamination and twice a year bacteriological Contamination.
6. Under the Jalmani scheme, out of a target of 9618 schools, only 2642 installations are reported of Water purification equipment in school

25. NAGALAND

1. SWSM meetings chaired by Chief Secretaries should take place once in 6 months. The State level Water Quality Review Committee should inform about the latest developments on Water Quality issues in the States.
2. Against 20 point target of 244 habs., achievement is only 46. District except Dimapur, Kiphire, Longleng, Wokha and Zunheboto have reported less than 40% achievement .
3. Expenditure is 43.81% out of available funds so.
4. Out of target of covering 105 quality affected habitations 03 (2.89%) have been covered so far.
5. Out of 20% allocation of Rs. 15.90 Crore for Sustainability nil expenditure reported so far.
6. Out of 1615 sources only Nil have been tested so far in the laboratories. All sources should be tested once a year for chemical contamination and twice a year bacteriological Contamination.
7. Under the Jalmani scheme, out of a target of 496 schools, only 115 installations are reported of Water purification equipment in school.

26. SIKKIM

1. SWSM meetings chaired by Chief Secretaries should take place once in 6 months. The State level Water Quality Review Committee should inform about the latest developments on Water Quality issues in the States.
2. Against 20 point target of 175 habs., achievement is 60. All district except South and West have reported less than 40% achievement .
3. Expenditure is good at 81.38 % out of available funds so far.
4. Out of 20% allocation of Rs. 5.25 Crore for Sustainability nil expenditure reported so far.
5. Against target for formation of 163 VWSC, Nil achievement is reported so far.
6. Out of 4709 sources only Nil have been tested so far in the laboratories. All sources should be tested once a year for chemical contamination and twice a year bacteriological Contamination.

7. Under the Jalmani scheme, out of a target of 440 schools, only 176 installations are reported of Water purification equipment in school.

27. TRIPURA

1. SWSM meetings chaired by Chief Secretaries should take place once in 6 months. The State level Water Quality Review Committee should inform about the latest developments on Water Quality issues in the States.
2. Against 20 point target of 825 habs., achievement is 445. All district except Dhalai have reported less than 40% achievement .
3. Expenditure is 48.36 % out of available funds so far.
4. Out of target of covering 784 quality affected habitations 395 (128.48%) have been covered so far.
5. Out of 20% allocation of Rs. 11.43 crore for Sustainability Nil expenditure reported so far.
6. Against target for formation of VWSC, nil achievement is reported so far.
7. Out of 16960 sources only 21 have been tested so far in the laboratories. All sources should be tested once a year for chemical contamination and twice a year bacteriological Contamination.
8. Under the Jalmani scheme, out of a target of 802 schools, 538 installations are reported of Water purification equipment in school.

28. GOA

1. SWSM meetings chaired by Chief Secretaries should take place once in 6 months. The State level Water Quality Review Committee should inform about the latest developments on Water Quality issues in the States.
2. Proposal for release of 1st installment under NRDWP has not been submitted.
3. Matching State share by NRDWP funds released in 2008-09 are still not deposited in SWSM account.
4. Water & Energy Audits may be conducted in the Water treatment Plants once a year.

Areas of Concern from Planning Commission's Perspective

Planning Commission
Government of India

Accelerated Irrigation Benefit Programme (AIBP)

The Accelerated Irrigation Benefit Programme (AIBP), launched in 1996-97 intends to meet the resource gap in the implementation of large major and multi-purpose irrigation projects and the completion of ongoing major and medium irrigation projects. Originally implemented as a loan scheme, the AIBP now provides central grants. During 2006-10, against a target of 3.61 million hectares (m.ha), the achievement reported is 3.0 m.ha. Overall 282 major/medium/Extension, Renovation and Modernization (ERM) irrigation projects and 11,430 minor irrigation projects have received CLA/Grant under AIBP since 1996-97. Outlay under AIBP has grown dramatically from a mere Rs.500 crores in 1996-97 to Rs. 6,946 crores in 2009-10. During 2002-08, AIBP funded 42 per cent of all major and medium irrigation projects in India.

Issues and Challenges

Slow Progress vis-à-vis Target: Out of the total targeted irrigation potential of 119 lakh hectares under major and medium projects, as in March, 2010, the cumulative achievement was 64.66 lakh hectares. Further, during the years in which the AIBP has been implemented, Net Irrigated Area (NIA) through canals has actually undergone an absolute decline. From an average contribution to NIA of around 17.5 million hectares in the mid-1990s, area irrigated by canals has come down to less than 15 million hectares in the first decade of the 21st century. Of the 282 major and medium projects sanctioned under AIBP between October 1996 and March 2010, only 124 (44 per cent) projects are reported to have been completed. For minor irrigation projects the figure is 7,969 out of 11,430 (69 per cent).

Additional Irrigation Potential: The Comptroller and Auditor General's (CAG) Performance Appraisal of the AIBP for the period 2003-04 to 2007-08 indicates that the status of completion of projects under AIBP continues to be poor. Of the 253 major and medium irrigation and ERM projects during October 1996 March 2008, only 100 are reported to have been completed. Of the audit sample of 70 major and medium irrigation projects, 21 were reported to have been completed. Out of this, 12 projects which were reported as complete, were actually incomplete. Most major and medium irrigation projects had time and cost overruns. Against 9.65 M. Ha. of irrigation potential creation targeted under AIBP, the reported creation is only 4.90 M. Ha which is 51 per cent of the envisaged irrigation potential.

Of the audit sample 41 major, 29 medium and 346 minor irrigation projects, targeted irrigation potential was not created in 25 major, 19 medium and 189 minor irrigation projects. Even the potential creation was also not utilised fully. The major implementation challenges across almost all States as per the CAG report are (i) deficiencies in the planning and approval of AIBP projects (ii) poor project execution (iii) poor financial and contractual management and (iv) poor project monitoring at State level and by the Central Water Commission.

Project Approval, Design and Implementation: No new projects should be taken up until resources are found to complete the ongoing schemes. Funds should be released by the GoI in time (not in the last quarter/March) to the State Governments. Further, State Governments should be directed to ensure release of GoI funds (along with the State share) within the stipulated period of 15 days.

Creation of irrigation potential should be recognized only where (a) there are no gaps in the main branch canals, and water is capable of flowing right through the sections recognized for creation of IP; and (b) not just the main/ branch canals, but also all associated minors and distributaries have been completed.

Except for preliminary expenditure, no major investment on a project should be made unless the issues of land acquisition, relief and rehabilitation, forest clearance are sorted out as a whole for the projects. GoI funds should be released only after the State Government certifies that the major portion of the land required for the project (not just for the dam/ head-works but also for the canals) has already been acquired. Future releases should be linked to progress in land acquisition

Time and Cost Over-runs: AIBP projects suffer from time and cost over-runs. For example, non-completion of 32 projects within the stipulated period in the States of Andhra Pradesh, Chhattisgarh, Jharkhand, Karnataka, Kerala, Punjab and West Bengal, resulted in substantial cost overrun of Rs.4,775 crore and time overrun of 24 to 84 months, even after the projects were brought under AIBP.

Financial Viability: A major problem affecting irrigation systems in the states is the severe erosion of the financial status of these systems owing to very low water charges. Not only does this encourage inefficient water use and a tendency for head-end canal users to shift to water intensive crops, it also creates an environment in which irrigation charges do not cover even operating costs leading to progressive neglect of maintenance.

Participatory Irrigation Management: For command area development to be effective the participation of farmers as in the process must occur right from planning and implementation to monitoring and maintenance. For this, WUAs need to be set up within the framework of the PRIs and provided with autonomy, incentives and powers.

National Rural Drinking Water Programme (NRDWP)

The Accelerated Rural Water Supply Programme (ARWSP) has been revamped and renamed as the National Rural Drinking Water Programme (NRDWP) with a view to ensure drinking water security in rural India. This programme constitutes a major breakthrough in drinking water policy and strategy in India. The National Rural Drinking Water Programme has been provided with Rs. 39,490 crores in the Eleventh Plan (2007-12). The states are to spend a total of Rs. 49,000 crores.

Issues and Challenges

Coverage: The National Drinking Water Mission was established in 1986. Within ten years, the Mission claimed that only 63 problem villages were left to be covered. But in 1999, a new target was set to cover 15 lakh habitations by the end of the Tenth Plan. NRDWP is implemented in 16,61,058 rural habitations in the country. As per the status of habitations as on 31.12.2010, the habitations with 100% population coverage with drinking water facility in the States of Jammu & Kashmir (36%), Tripura (42%), Manipur (43%), Arunachal Pradesh (45%), Orissa (46%), Chhattisgarh (49%), Assam (51%), Meghalaya (53%), Andhra Pradesh (53%), Rajasthan (55%), Madhya Pradesh (56%) and Karnataka (57%) are far below the country average coverage (i.e. 72%). There are still a large percentage of uncovered habitations having population coverage of less than 25% with water supply facility in the States of Jammu and Kashmir (40%), Rajasthan (36%), Arunachal Pradesh (30%), Assam (28%) and Tripura (24%), which are far behind the other States in the country. Top priority is required to be given to cover all the un-covered habitations with water supply facility within the Eleventh Plan. The efforts need to be enhanced by all the States, especially by aforesaid States, to achieve the targets for the coverage of all un-covered and water quality affected habitations as envisaged under 'Bharat Nirman' by the end of March, 2012. Other balance habitations also need to be covered with drinking water facility at the earliest.

Ongoing Slipback: The National Drinking Water Mission was established in 1986. Within ten years, the Mission claimed that only 63 problem villages were left to be covered. But in 1999, we again set a new target of universal coverage of 15 lakh habitations by the end of the Tenth Plan. According to the Department of Drinking Water Supply (DDWS), the number of "slipped-back habitations" that had to be "re-covered" in the Bharat Nirman period (2005-10) had grown to 419,034. The Eleventh Plan reset the goal to "provide clean drinking water for all by 2009 and ensure that there are no slip-backs by the end of the Eleventh Plan". But slip-backs continue to happen on an on-going basis.

Groundwater sources identified as the basis for rural drinking water supply schemes have proved to be unsustainable because of falling water tables and the associated problem of pollution. Since rural drinking water is overwhelmingly supplied by groundwater our ability to tackle the drinking water problems cannot be delinked from our ability to evolve a sustainable policy for groundwater for irrigation. It is also necessary to have coordination with the rural sanitation and primary healthcare programmes since faecal contamination is a major problem.

Maintenance and upkeep: The responsibility for operation and maintenance of water supply schemes lies with the PRIs. However, in many states this responsibility is poorly defined

and, often, not supported by transfer of adequate fund and trained manpower to the PRIs. PRIs and Village Water and Sanitation Committees (VWSCs) are not willing to take over completed schemes where their participation is not ensured at the planning and implementation stages. Inadequate water resource investigations, improper design, poor construction, use of substandard materials, weak workmanship and lack of preventive maintenance have led to rapid deterioration of water supply schemes.

Capacity Building: VWSCs are required to develop village water security plans taking into consideration present water availability, reliability, its different uses and equity. The VWSCs can also outsource development of their water supply schemes to agency of their own choice after consultation at the Gram Sabha. This demands tremendous managerial capacity at the grass-root level. Thus, Communication and Capacity Development Units (CCDUs), where not existing, need to be established in all states/UTs to create awareness among rural people on all aspects of rural water supply. Training is required in sustainable and equitable groundwater management, water quality monitoring, water level recording, O&M of drinking water supply systems, social audit etc.

Quality Issues: Indian Standard: Drinking Water-Specification (IS:10500) need to be adopted and a Water Testing Laboratory needs to be established at each sub-division level. Some of the interventions needed for ensuring quality of water include (i) comprehensive geological and geochemical understanding of aquifers (ii) continuous monitoring of water quality (iii) identification of health impacts of poor water quality (iv) creation of awareness for mitigating impacts of poor water quality (v) extension of services for mitigation of health problems.

Create essential data and knowledge-base: Data and knowledge base on the drinking water prospects in the country is found to be weak. For example, data collection on drinking water sources today happens in an extremely loose and impressionistic manner. Aquifer mapping and delineation has not even begun to get off the ground. A comprehensive database of aquifers in India along with spelling out of strategies for assuring safe and sustainable drinking water need to be built. While developing its own new Management Information System (MIS) the Department of Drinking Water and Sanitation (DDWS) must work closely with the Ministry of Water Resources, Central Water Commission and Indian Space Research Organization to arrive at a holistic picture of drinking water prospects in each block of the country.

Create the supportive legal regulatory framework: The rights of appropriators to devise their own institutions need to be protected, while seeing to it that they do not violate legally enshrined principles of rights, equity and sustainability. Separate groundwater legislations are needed if aquifers are to be protected.

Human Resources: There is a need to deploy adequate human resources at the cutting edge level of implementation at the block-level and below. The block-level inter-disciplinary team of experts in hydrogeology, anthropology, social work will identify and build teams of barefoot water experts (jalmitaans) deployed by the VWSC within each GP level.

Pradhan Mantri Gram Sadak Yojana (PMGSY)

Pradhan Mantri Gram Sadak Yojana (PMGSY), a fully funded Centrally Sponsored Scheme on rural road connectivity, was launched on 25th December, 2000. The original targets set for PMGSY was too ambitious. Thus, this programme was later rephased through Bharat Nirman programme to achieve its targets set for rural connectivity. Initiated in 2005-06, this Bharat Nirman Programme aimed at providing connectivity to all the eligible unconnected habitations in a time bound manner by 2009. The PMGSY component in Bharat Nirman, in spite of its substantial progress, suffers from delayed completion. It is now expected to be completed in 2010-11.

Issues and Challenges

Funding PMGSY: The requirement of funds for completing the work on PMGSY is quite large and ranges between Rs.1,30,000 crore and Rs.1,50,000 crore. Keeping in view the resource constraints in funding such a huge and important initiative, efforts are needed to develop realistic work and financing plan for development of rural roads taking into consideration the road length to be constructed, the total requirement of funds and the source of financing.

Maintaining PMGSY Roads: The maintenance of rural roads requires urgent attention. In order to provide adequate funds for the maintenance of existing rural roads, there is need to explore the possibility of raising non-budgetary resources.

Strengthening of Institutional Capacity: There is a need to create dedicated Programme Implementation Units (PIUs), outsource project preparation, engage independent project implementation consultants and review the existing delegation of powers.

Forest and Environment Clearance: Forest clearance for construction of PMGSY road takes around 12-14 months. Efforts are needed to initiate pro-active upfront action for seeking forest clearances as soon as the survey commences for preparation of Detailed Project Reports (DPRs).

Availability of Private Land for Road Construction: State Governments need to ensure availability of private land required for road construction. States experiencing difficulties on this account must use Gram Panchayats and local revenue administration to overcome this constraint.

Law & Order Problems: Left wing extremist activities are affecting the pace of implementation of PMGSY in some parts of Bihar, Chhattisgarh, Orissa and Jharkhand. These States have to ensure adequate security for execution of the road construction activities in the affected areas.

Rajiv Gandhi Grameen Vidyutikaran Yojana (RGGVY)

Rajiv Gandhi Grameen Vidyutikaran Yojana (RGGVY), a scheme for expanding Rural Electricity Infrastructure was launched in March, 2005. The scheme provides 90 per cent capital subsidy for the projects from the Central Government and the balance 10 per cent of the project cost is contributed by States through own resources/loan from financial institutions. During the Tenth and Eleventh Plans, 1,18,499 number of villages were targeted for electrification out of which 86,890 villages (73%) have been covered (as on 15.11.2010).

Issues and Challenges

Connection to BPL Households: Though the financial and physical progress on village electrification has been satisfactory, provision of connections to BPL households has been only 56 per cent. Many habitations in the electrified villages are yet to be covered under the programme. This necessitates consultation with the implementing States for the reassessment of the programme to (i) access to power in uncovered habitations and (ii) provide power to BPL households.

Charging Electrified Lines: Many household electrified under the scheme are unable to get benefit of the programme as the electric lines connecting to their households have not got charged from the main grid. Thus, efforts are needed to get energized the electrified households so as to avoid de-electrification of infrastructure created under the scheme. Non-availability of adequate sub-transmission system in States like Bihar, Jharkhand and Orissa may cause delay in the effective implementation of the scheme.

Areas of Concern from C&AG's Perspective

Office of the Comptroller & Auditor General of India
Government of India

1. General Areas of Concern

1.1 Direct transfers to agencies

There are two broad modes for transfer of funds by Gol under Centrally Sponsored Schemes (a) through the State Government budget (b) or, increasingly, through direct transfers to State level (or in some cases District level) agencies/ societies/ autonomous bodies, which are outside the State Government budget. The Budget Estimates for 2010-11 indicate an amount of Rs. 1,07,552 crore for direct transfers.

While the direct transfer arrangements is generally justified on the need to (a) cut down delays in transfer of funds by the State Government(s) to the implementing agencies (b) and minimize chances of diversion of funds for other purposes, the arrangements for financial accountability under such direct transfers are weakened significantly. In most cases, there are multiple layers of recipients of funds (at the State, district, and sometimes even block and lower levels); the first level recipients of Gol funding are generally not the implementers. The release of funds to the next level agency is treated as expenditure, and arrangements for rigorous tracking and verification of balance and end use of funds are often inadequate.

Further, in many cases, financial reporting is not adequately treated as a “core” concern. While most schemes do have elaborate Management Information Systems (MIS) for collection and reporting of physical and financial performance, the completeness and correctness of data in these MIS systems is often held to be the responsibility of the concerned State Government agencies. Further, MIS data is not a replacement for the rigour of certified/ audited accounts.

1.2 Utilisation Certificates (UCs)

Further release of funds to State Governments/ agencies under most schemes is contingent on submission of Utilisation Certificates. However, in many cases, UCs are not supported by audited Statements of Expenditure (either submitted to the Gol or in the records of the certifying agency), in the absence of which, it is difficult for us to derive assurance on the reliability and correctness of the certified expenditure.

Our audit scrutiny, from time to time, of various schemes also revealed numerous instances of “parking” of unutilized funds in various extra-budgetary accounts.

1.3 Accounting and Auditing Arrangements

In the cases of schemes with direct transfer mechanisms, the “accounts” to be rendered by the recipient agencies are loosely specified, without clear and rigorous accounting formats. Also, the audit arrangements for the agencies/ societies/ bodies generally involve appointment of Chartered Accountants by the concerned State Governments. The audit jurisdiction of the CAG has not been clearly defined in some schemes, although, in effect, our audit teams have obtained necessary access to records of the implementing agencies.

2. Pradhan Mantri Gram Sadak Yojana (PMGSY)

(CAG's Audit Report No. 13 of 2006 Union Government Civil)

The Government of India launched the Pradhan Mantri Gram Sadak Yojana (PMGSY) in December 2000 as a 100 percent centrally sponsored scheme with the objective of providing road connectivity to all unconnected habitations with population of 1000 persons (500 persons for hilly areas) and above by 2003 and those with population of 500 persons and above (250 persons for hilly areas) by the end of the tenth plan (March 2007). The programme was to provide connectivity to 1.41 lakh unconnected habitations and also upgrade the existing roads. An amount of Rs. 58,200 crore was estimated to be the funding requirement for the period ending March 2007.

A performance audit of the programme was conducted between January and June 2005 covering the period 2000-2005. The audit revealed the following:

- Though five out of seven years of the life of the programme were completed, only 33,875 or 24 per cent of the initially targeted 1.41 lakh habitations (revised to 1.73 lakh in March 2005) were provided connectivity upto March 2005.
- The funds mobilized between 2000 and 2005 were Rs. 12,293 crore, which was only around 30 per cent of the proportionate estimated requirement of Rs 41,571 crore up to March 2005, going by the initial estimate of Rs 58,200 crore for seven years.
- Programme funds amounting to Rs. 312.34 crore or 19.58 per cent of the test checked expenditure were diverted or parked in unauthorised deposits or spent on unapproved or inadmissible items of works or used in making undue payments to contractors.
- Works were executed by the States without conforming to the standard design and specifications prescribed in the Rural Roads Manual. This involved additional expenditure of Rs. 167.66 crore. 143 works were abandoned midway or remained incomplete after incurring expenditure of Rs. 43.85 crore as the land required was not made available by the States. Seven per cent or 1653 completed works took more than the stipulated time of nine months with delays ranging up to a maximum of thirty nine months.
- The three tier quality control mechanism was not adequately operationalised which led to the roads constructed deviating from the prescribed specifications. The findings of the technical inspection of the roads by CRRI in four States corroborated the flaws in the quality assurance system.
- An Online Management and Monitoring System (OMMS) introduced in November 2002 on which Rs. 20.67 crore was spent till March 2005 was beset with deficiencies and problems of software, absence of validation checks, defective data entry, weak security features and lack of utilisation of the accounting module.
- The programme was taken up without assessing the magnitude of the work involved and without any realistic assessment of the funds that could be mobilised. The guidelines had to be revised more than once till November 2004

and the Ministry did not have clear targets to monitor the progress and achievements.

3. Accelerated Irrigation Benefits Programme (AIBP)

(CAG's Audit Reports No. 15 of 2004 and No. 4 of 2010-11 Union Government Civil)

3.1 Background

Gol launched the Accelerated Irrigation Benefits Programme (AIBP) in 1996-97 for accelerating the implementation of large major and multi-purpose irrigation projects which were beyond the resource capability of the States, and to complete ongoing major and medium irrigation projects which were in an advanced stage of completion. This was later extended to cover surface water Minor Irrigation (MI) projects in Special Category (SC) States, and such projects satisfying specified criteria in other States.

From 1996-07 to 2007-08, 253 major, medium and ERM projects and 6855 MI projects were approved under AIBP. During this period, Gol provided funding of Rs. 26,719 crore for such projects Rs. 16,720 crore in the form of Central Loan Assistance (CLA) and Rs. 9,999 crore as grant.

Our earlier audit report on AIBP (No. 15 of 2004) revealed that the progress in completion of AIBP projects and creation of Irrigation Potential (IP) was very poor; many projects had not been taken up or were abandoned mid-way; and there were numerous instances of cost and time over-runs. Further, the programme had been successively modified, resulting in dilution of the original focus; many projects had been injudiciously selected (despite elaborate guidelines), and there were several instances of diversion, parking and misuse of funds, as well as poor contract management.

We decided to conduct up a follow-up audit to assess whether the performance of AIBP had improved, and also whether the key issues highlighted in our earlier report had been appropriately addressed. Our audit, which was for the period 2003-04 to 2007-08, covered 70 major and medium irrigation projects and 346 MI projects in 26 States, and involved field audit of the records of the Ministry of Water Resources, the Central Water Commission, the Water Resources/ Irrigation Departments and implementing agencies of the State Governments and field inspections of the sampled projects.

3.2 Findings of Performance Audit Report No. 4 of 2010-11

Successive Modifications in AIBP

The scope and coverage of AIBP, as well as funding pattern, were altered successively through six sets of modifications to the AIBP guidelines between October 1996 and December 1996. Reform measures introduced under AIBP, viz. the concept of reforming States (which agreed to revise water rates to cover operation and maintenance charges), and the "fast track" approach for speedy completion of projects, were not satisfactory, and were subsequently abandoned. This trend of successive modifications was clearly indicative of continued lack of

clarity in the focus and objectives of AIBP, which had been pointed out in the earlier Audit Report.

AIBP's Role in Overall Creation and Utilisation of Irrigation Potential

Although AIBP was a significant factor in the reported creation of Irrigation Potential (IP) in the major, medium, and ERM sector (especially since 2003-04), project-wise data regarding actual utilization of potential reportedly created was not furnished either by the Ministry of Water Resources (MoWR) or the Central Water Commission (CWC). Consequently, the contribution of AIBP to IP which was actually utilized could not be ascertained in audit.

The role of AIBP in the Minor Irrigation (MI) sector is relatively small. However, the Ministry did not maintain project-wise details of IP created and utilized under AIBP MI projects and could only furnish lump sum figures of IP created and utilized on a year-wise and State-wise basis. In the absence of detailed data, the authenticity of creation and utilization of Irrigation Potential under individual AIBP MI projects could not be verified.

Poor Progress in Completion of Projects

The status of completion of projects taken up under AIBP continued to be poor. Of the 253 major, medium and ERM projects sanctioned under AIBP between October 1996 and March 2008, only 100 projects were reported as completed. However, of the 70 major and medium projects within our audit sample, while 21 projects were reported as completed, 12 of these "reportedly complete" projects were found to be actually incomplete or non-commissioned. Most of the major and medium projects also suffered from cost and time over-runs.

As regards minor irrigation projects, while about 37 per cent of the projects sanctioned under AIBP were reportedly complete, the authenticity of completion of individual MI projects, as reported by the Ministry, could not be verified in the absence of detailed project-wise data with the Ministry.

The major reasons for non-completion/ delayed completion of projects were non-fulfilment of pre-requisites (acquisition of land, receipt of forest/ environmental and other clearances), delayed construction of railway and highway crossings, and poor tendering and contract management.

Short creation of Irrigation Potential/ Non-utilisation of created Irrigation Potential

Out of 41 major, 29 medium and 346 minor irrigation projects, the targeted irrigation potential was not created in 25 major, 19 medium and 189 minor irrigation projects; even the IP reported as created was not being utilized fully. In addition to delayed work execution, one of the main reasons for short creation/ non-utilisation of IP was due to splitting a single irrigation project into two or more projects for approval under AIBP, or dividing a project into AIBP and non-AIBP components; even if the concerned AIBP project was completed, irrigation potential was incapable of being actually utilized due to non-completion / non-functional state of the linked projects.

Deficiencies in Planning and Approval of AIBP Projects

Detailed Project Reports (DPRs) in 14 out of 70 test-checked major/ medium projects were found to be deficient in several aspects incomplete meteorological and other data like soil surveys and water logging; hydrological aspects like catchment area, monsoon rainfall and annual yield; water availability and need in the command area, 100 years return flood period, ground water potential etc. As regards minor irrigation projects, DPRs for 112 out of 364 test-checked minor irrigation projects were not prepared/ made available and the projects were cleared on the basis of "concept papers" or simple project proposals.

The Benefit Cost Ratio (BCR), which is critical for assessing the economic viability of an irrigation project through detailed assessment of incremental annual benefits and annual costs, was either not assessed at all or overstated (through improper calculation of costs like interest, depreciation, on-farm development cost, maintenance costs, as well as benefits) in 28 major/ medium and 177 minor irrigation projects.

Poor Project Execution

In addition to delays due to non-fulfilment of pre-requisites, one of the main deficiencies in project execution was incorrect phasing of project implementation. Contrary to the guidelines stipulating that the construction programme of various components of major projects was to be appropriately planned on a yearly basis so as to start yielding phase-wise benefits quickly, we found numerous instances of incorrect phasing of project components e.g. dam section incomplete, but main/ branch canals complete or nearly complete; main/ branch canals completed, but work of distributaries and water courses not taken up; main and branch canals constructed in patches, with gaps (particularly in the initial reaches). Consequently, despite incurring of substantial expenditure, the benefits of irrigation water were not fully available to the targeted beneficiaries.

Poor Financial Management

Between 75 to 85 per cent of the AIBP grants released during 2005-06 to 2007-08 were released to just six States, without corresponding performance in terms of project completion.

We found that the majority of GoI sanctions for release of funds were issued at the fag end of the financial year (last quarter/ March). Further, State Governments did not release the GoI funds in entirety or delayed such release to the implementing agencies well beyond the stipulated period of 15 days.

We found several instances of diversion/ parking of funds and other financial irregularities in many states.

Poor Contractual Management

Our audit scrutiny revealed grant of undue benefits to contractors amounting to Rs. 186.89 crore in 14 States, as well as cases of unauthorised/ irregular expenditure of Rs. 403.83

crore in 17 States. In addition, other cases of irregular contractual management were also detected in 12 major/medium and 28 minor irrigation projects.

4. National Drinking Water Programme (erstwhile Accelerated Rural Water Supply Programme)

(CAG's Audit Report No. 12 of 2008 Union Government Civil)

A performance audit of ARWSP, covering the period from April 2002 to March 2007, was conducted between June and October 2007. This involved field audit of the relevant records of the Department of Drinking Water Supply (Ministry of Rural Development), State Governments, and District and State Implementing Agencies (Public Health Engineering Departments, Jal Nigams etc.) in 26 States. The audit revealed the following:

4.1 Conduct of National Habitation Survey 2003

Surveys of habitations at periodic intervals are important in assessing ground-level coverage of access to safe drinking water. There were significant deficiencies in the conduct of the 2003 National Habitation Survey at the States, adversely affecting assurance regarding the quality and reliability of the survey data, and thus its utility for planning purposes.

4.2 Planning

In the absence of Annual Action Plans based on a detailed and comprehensive habitation-wise analysis in many States, targets were being fixed on a numerical basis, and works taken up in an ad hoc manner. This adversely impacts the coverage of habitations, especially the prioritization for incomplete works and Not Covered (NC)/Partially Covered (PC) habitations.

4.3 Financial Control

There were several instances of deficient financial control, besides instances of inadmissible expenditure and diversion of ARWSP funds.

4.4 Slip-backs and Re-emergence of Problem Habitations

Contrary to the scheme's objectives, slip back of fully-covered habitations and re-emergence of problem habitations continued to be a major problem, thus raising the issue of indefinite continuity of the programme.

4.5 Water Quality

States did not pay adequate attention to water quality. The infrastructure for testing and monitoring water quality, especially at the District level, was inadequate and periodic testing requirements were not complied with. Distribution and utilisation of field testing kits at the Gram Panchayat / Village level Water and Sanitation Committee was also poor.

4.6 Sustainability

Some States had initiated innovative practices for water sustainability, including implementation of a State-wide water transmission grid, use of IEC campaigns for promoting water conservation, and use of remote sensing technology for assessment of impact of recharge structures. However, many States did not take adequate measures for ensuring sustainability of water resources especially ground water. The proportion of schemes relying on ground water sources was very high in many States. In the absence of adequate attention being paid to sustainability, the slip back of habitations may continue to remain a major area of concern.

4.7 Project Execution

There were numerous deficiencies in execution and implementation of works. These included cases of time and cost-overrun, non-completion/delayed completion of works, non-functional/defunct works, delayed completion and non-completion of water quality mission projects, incorrect prioritization of works, wasteful and unfruitful expenditure, and expenditure on unapproved items.

Key Issues in Internal Security

Key Issues in Internal Security

Ministry of Home Affairs
Government of India

A. Internal Security Situation in the Country

1. Internal Security situation in the country remains largely under control. Except for the German Bakery Blast in Pune, the attack on a bus in Delhi and a low intensity bomb blast in one of the ghats in Varanasi, there has been no major terrorist incident in the hinterland in 2010. The situation in Jammu and Kashmir in terms of incidents of terrorist violence and related casualties has shown a perceptible improvement. However, the summer of 2010 witnessed violence in the Valley in the form of protests as agitations turning violent (stone pelting by a section of youth) and the security forces being targeted, in particular. The level of violence came down considerably by end of September, 2010 and presently the situation is under control. In the North-Eastern states, the situation has improved significantly in terms of casualties of civilians and security forces. However, naxal violence saw an increase in terms of number of incidents and casualties of civilians and security forces as compared to the corresponding period of 2009.

2. Security Situation in J&K

2.1 The situation in Jammu & Kashmir, in terms of terrorist violence has shown a slight decline in 2010 compared to 2009. In the year 2010, the number of violent incidents decreased by 2%, SFs killed decreased by 13% and death of civilians decreased by 34% as compared to the year 2009. The daily average of terrorist incidents in 2010 is 1.33 as against the daily average of 1.36 terrorist incidents in 2009.

2.2 However, the terrorist infrastructure in Pakistan / PoK remains intact and the infiltration attempts from across the border still continue to pose a challenge to the security forces. The number of attempts almost remained the same in 2009 and 2010. The infiltration attempts and encounters are inextricably linked.

2.3 Trends of terrorist violence in Jammu & Kashmir as well as levels of infiltration over the past few years are as under:

Trends of Terrorist Violence in Jammu and Kashmir

Year	Incidents	SFs killed	Civilians killed	Terrorists killed
2005	1990	189	557	917
2006	1667	151	389	591
2007	1092	110	158	472
2008	708	75	91	339
2009	499	79	71	239
2010	488	69	47	232

Estimated infiltration attempts in J&K

YEAR	2004	2005	2006	2007	2008	2009	2010
Total	537	597	573	535	342	485	489

2.4 The Government, in tandem with the State Government, have adopted a multi-pronged approach to contain cross border infiltration, which, inter-alia, include strengthening of border management and multi-tiered and multi-modal deployment along international Border / Line of Control and near the ever changing infiltration routes, construction of border fencing, improved technology, weapons and equipments for SFs, improved intelligence and operational coordination and synergizing intelligence flow to check infiltration and pro-active action against terrorist within the State.

2.5 The summer of 2010 in the State of J&K witnessed a spurt in violence in the Valley in the form of protests and agitations turning violent and attacking the security forces. The use of stones by a section of the youths has been a unique feature of violent attacks on the security forces. This form of agitation leading to a cycle of violence disturbed the State particularly since June, 2010. The Stone pelting incidents since 11th June, 2010 led to deterioration in the law and order situation in which 101 civilians and 1 police personnel were killed in law and order incidents. The Security Forces have encountered remorseless stone pelting from the agitators. There have been 1732 incidents of stone pelting on Security Forces from June to October, 2010. During this phase of violent agitations, 832 civilians, 2938 police and 1552 SF personnel suffered injuries.

2.6 The law and order situation in the state of J&K has considerably improved and is under control.

3. Security Situation in North Eastern States

3.1 The fragile security situation in the North Eastern States centres around a number of issues such as language/ethnicity, tribal rivalry, migration, control over local resources and a widespread feeling of exploitation and alienation. This has resulted in violence and diverse demands by various Indian Insurgent Groups (IIGs). The demands vary from sovereignty in some cases to independent State or Homeland or better conditions for ethnic groups they claim to represent.

3.2 The number of violent incidents in North Eastern States during the year 2010, as compared to the year 2009, has come down from 1297 to 773. Similarly, number of Security Force personnel and civilians killed, has come down significantly. In Nagaland, no casualty of civilian or Security Forces personnel have been reported during the year 2010. In Manipur, during the year 2010, the number of civilians killed and number of Security Forces personnel killed, have come down from 81 to 33 and from 19 to 6 respectively (as compared with the figures pertaining to year 2009). Situation in Mizoram and Sikkim continues to be peaceful.

4. Naxal Violence

4.1 During 2010, though the number of incidents of naxal violence have reduced marginally, however the casualties of civilians have gone up as compared to the corresponding period of 2009. In 2010, the number of incidents of violence and police/civilian casualties were 2204 and 998 as compared to 2258 and 908 respectively during the previous year. The overall naxal violence during the years 2005-2010 has been as under:

Year	Incidents	Naxalites killed	Security Force (SF) killed	Civilian killed
2005	1608	225	153	524
2006	1509	272	157	521
2007	1565	141	236	460
2008	1591	199	231	490
2009	2258	218	317	591
2010	2204	171	285	713

4.2 73 battalions of CPMFs are currently deployed in the naxal affected State for assisting State Police forces in anti-naxalite operations. 37 IR Bn have been sanctioned to these States out of which 31 Bns have been raised so far. 20 CIAT schools have been sanctioned to impart specialized training to State Police Personnel in respect of Counter Insurgency, Jungle warfare and Terrorism in Assam, Bihar, Chhattisgarh, Jharkhand, Orissa, West Bengal, Manipur, Nagaland, & Tripura.

5. Communal Situation

The Communal Situation in the country by and large remained under control.

B. Police Reforms: Supreme Court orders; New Police Act

The Reform in Police is for good governance, effectiveness of Criminal Justice system and for meeting challenges posed by Terrorism, Extremism, Insurgency and Organized crime.

2. Ministry of Home Affairs has been advocating the Police Reforms Agenda with the State Governments within the frame work of the constitutional vision that the Police and Law & Order are 'State' subjects, and thus the State Governments are the primary stake-holders. At best, Centre can facilitate and advise.
3. Agenda of police reforms has evolved around:
 - (a) 49 recommendations of Review Committee constituted by MHA.
 - (b) Model Police Act drafted by expert Committee set up by MHA.

- (c) 6 directions of the Supreme Court in WP(C) 310/1996-Prakash Singh & others Vs Union of India & others.
4. Ministry of Home Affairs has been following up (a) & (b) with State Governments through:
 - (a) Circulation
 - (b) Reminders
 - (c) Periodic listing of Police Reforms as agenda for CMs' & DGPs/IGsP Conferences.
 - (d) Sharing of best practices and other "Model" Manuals being notified/ circulated by BPR&D from time to time.
 - (e) Recently, through the aegis of the National Police Mission (NPM) some imperatives of Police Reform Agenda, e.g. Community Policing, transparent recruitment process etc. are also being pursued.
 5. For the 6 directions of the Hon'ble Supreme Court the follow up efforts by the States is being directly monitored by the Supreme Court.
 6. Those aspects of Police Reforms which are not directly covered by the Supreme Court directives but are contained in the Model Police Act / 49 recommendations, State Governments have to act and help MHA to actively update on the various aspects of Police Reforms on a continuous basis. States may also give their views whether implementation of various reforms like transparent recruitment process etc. The release of funds under the MPF Scheme will be linked with the overall performance of a State with respect to Police Reforms.
- B1. Extension of the scheme of Modernisation of State Police Forces- Impact assessment study
1. Modernization of State Police Force Scheme
 - 1.1 The Modernization of Police Force Scheme (MPF) was approved by the Cabinet Committee on Security in 2000 for a period of 10 years i.e. upto 2009-10. Pending consideration of its extension for another 5-10 years, it has been extended to one more year i.e. 2010-11.
 - 1.2 BE provision for 2010-11 is Rs. 1265 crore and till January 18, 2011, funds amounting to Rs. 1012.66 crore (80%) have been released to States.
 - 1.3 The BPR&D was tasked to conduct a holistic study of the impact of MPF Scheme on the modernization of State Police Forces and also to make an assessment of requirement of State Police Forces for the next 5-10 years to enable the Ministry of Home Affairs to take a decision on further continuance of the Scheme.
 - 1.4 A concept paper on the new MPF Scheme was circulated in DGPs conference and BPR&D also circulated the same in October, 2010. States may forward their responses quickly to enable the Ministry to formulate a new Scheme. In addition, based on the report of the

Consultant appointed by the BPR&D, States were advised vide letter dated 23.9.2010 (i) that in the case of new MPF Scheme, Annual Action Plan (AAP) should subscribe to a perspective plan for next five years and the AAP should largely be within the perspective plan, (ii) Asset Management Register be created for all assets centrally at the DGP level as per GFR 190 in Form 40, and (iii) a format for quarterly progress report indicating the physical and financial progress for proper fund management be created. Responses of the State Governments should be expedited so that the process of approval of the same is initiated early and the process of releasing the funds commences from April, 2011 itself which will give maximum time to States to utilize the funds.

2. Modernisation of Forensic Science Laboratories under the State Home Departments

2.1 With a view to revamp and modernize the organizational structure/ set up of various Central Forensic Science Labs (CFSL), personnel policies, training requirements, etc. the Ministry of Home Affairs appointed two Scientific Experts (Consultants) in January, 2010 to prepare a detailed report. The Consultants, in their report, have made a number of recommendations for upgradation of Forensic activities in the country which are under implementation. Govt. of India has also declared the year 2010 as 'Forensic Year'. It is, therefore, imperative that State Governments pay adequate attention to this sector and take steps for development of forensic science capabilities in their States.

2.2 The role played by Forensic Science in the administration of criminal justice system needs hardly any emphasis. However, its independence and reliability becomes debatable when it functions under the Police. The National Human Rights Commission has also made a number of recommendations regarding the functioning of forensic science laboratories in the country and for upgrading their status.

2.3 Ministry of Home Affairs has advised the State Governments to make their forensic science set up independent of police influence and treat them as independent scientific organisation. As per the available information, Assam, Haryana, Himachal Pradesh, Karnataka, Rajasthan and Chhattisgarh, Gujarat, Maharashtra, NCT Delhi, Tamil Nadu, Tripura and West Bengal have brought the administrative control of forensic science laboratories directly under their respective Home Departments. The remaining States also need to ensure the same.

2.4 The Ministry of Home Affairs under a plan scheme intends to set up 6 Regional Forensic Science Laboratories and 52 District Mobile Forensic Science Units in various States/UTs. Funds are being released to States who have signed MOU with the Central Government. Others may expedite the completion of this requirement.

2.5 Another issue of concern is the large number of vacancies in the State Forensic Science Labs. The investments in forensic labs in terms of infrastructure/ equipment can play the required role in the administration of criminal justice only if the labs are adequately manned. As forensics plays a vital role in increasing the rate of conviction and controlling crime, it is imperative that State Governments ensure that vacancies in their Forensic Science Labs are filled up in a time bound manner.

3. Regulation of Private Security Agencies

3.1 Due to increase in the number of business establishments and the resultant increased demands for security and surveillance, there has been a proliferation of private security agencies in the recent years. Though these private security agencies have helped in meeting the security needs of business establishments, there has been a growing concern regarding the manner of functioning of these agencies, many of which seem to conduct their operations without conducting due diligence in verifying the antecedents of the personnel employed as private security guards and supervisors. In this background, the Private Security Agencies (Regulation) Act, 2005 was enacted to regulate the functioning of these private security agencies, so that these are run within legal parameters and are accountable to a regulatory mechanism. The State Governments have been requested to frame rules under the provisions of the said Act and appoint a Controlling Authority.

3.2 So far 28 States/U.Ts. have notified rules under the provisions of the said Act. Those who are yet to frame rules include Bihar, Himachal Pradesh, Jharkhand, Manipur, Madhya Pradesh, Lakshadweep. 25 States have appointed the Controlling Authority. Those who are yet to appoint the Controlling Authority are Andhra Pradesh, Bihar, Haryana, Himachal Pradesh, Jharkhand, Kerala, Tripura, U.P. and Lakshadweep.

3.3 The remaining State Governments are required to frame and notify rules for regulation of private security agencies in their States and also to appoint Joint Secretary or equivalent level officer in the Home Department as the Controlling Authority as per the provisions of the Act.

4. Supply of Ordnance stores by Ordnance Factory Board (OFB)

4.1 Slow pace of supply of ordnance stores by the OFB to State Police Organisations (SPOs) have been taken up with OFB as well as Department of Defence Production (MoD) on a number of occasions. Union Home Secretary has taken meetings with OFB on 9.4.2010, 28.06.2010 and 28.09.2010 to review the supply position of Ordnance Stores. Supply position of these stores to SPOs has improved dramatically and majority of the outstanding quantities have been supplied. During the Target Fixation Meeting held at Jabalpur, OFB have accepted most of the targets projected by the MHA.

4.2 OFB on their part have indicated that some of the States are not collecting the stores from the factories in time resulting in accumulation of stocks and blocking the supply to other needy Forces. State Police Departments need to ensure collection of stores as and when such intimation is received. Further, for an efficient review and monitoring, it is imperative that SPOs should evolve a mechanism to give a regular update about the collection/ advance payment etc. to MHA.

5. Enhancing the delegation of financial powers to DsGP

5.1 Financial and Administrative powers to DGPs plays a crucial role in the timely execution of various projects and procurement related work. Opinions were expressed in one of the DGPs Conference in favour of enhancement of Financial and administrative powers to the DGPs for timely execution of various projects and procurement related work. Accordingly, vide

Home Secretary's DO letter dated 29th September, 2009, while forwarding copy of orders regarding delegation of Financial Powers to Director Generals and other authorities of CPMFs for procurement of stores etc., Chief Secretaries of States were requested to consider delegating similar powers to the DGPs to eliminate bottlenecks and facilitate prompt utilization of funds. State Governments may give consideration to this proposal.

C. Issues Relating to Border Management

The following issues pertaining to management of international borders need immediate attention of the concerned State Governments.

2. Fencing and road projects along Indo-Bangladesh Border

2.1 Government of India has taken up construction of border fencing and roads along Indo-Bangladesh border as one of the measures to check infiltration and trans-border crimes. The construction of fencing and roads, however, is held up in 45 stretches (93.33 Km) due to non-settlement of land acquisition (LA) cases. These include 22 stretches (59.56 Km) in West Bengal, 01 stretch in Assam (1.00 km), 5 stretches in Meghalaya (11.976 Km), 10 stretches in Tripura (10.87 km) and 07 stretches in Mizoram (9.92 km). Expeditious land acquisition by concerned State Governments in all these cases is necessary for early start and timely completion of the works.

2.2 In Meghalaya, construction of border fencing and roads over a stretch of 135.12 km from BP No.1251 to 1338 (Hatimara to Rattachera) was suspended by the State Government in March 2007 due to protest by Coordination Committee on International Border (CCIB). After intervention of the MHA, now the State Government has initiated the process of facilitation for the proposed border works. The Joint survey by the State Government/District level authorities and the construction agency (NBCC) have been carried out in a stretch of 78 Km and alignment has been finalized. The joint survey in the remaining 57 Km is going on. On the demand of the district collector money has been deposited by the NBCC towards land compensation for fencing work. Tender has been invited. Works are likely to start by April 2011. State Government of Meghalaya is requested to facilitate and expedite the process of fencing and road construction work in this particular stretch. It is to be noted that the entire work is to be completed before March, 2012.

2.3 The construction work of border fencing and roads are being taken up on priority. State Governments are requested to provide adequate security to construction agencies and resolve local issues to expedite the project. In the Eastern Tripura sector adequate security has to be ensured as requested by construction agency (NPCC).

3. Construction of Border Out Posts (BOPs) along borders

3.1 Construction of additional 509 BOPs along Indo-Bangladesh (383) and Indo-Pakistan (126) borders have been sanctioned by the Government of India in February, 2009 with an objective to reduce the inter BOP distance for effective domination of these borders by border guarding forces. These BOPs are required to be constructed in West Bengal (223), Assam (06), Meghalaya (17), Tripura (64), Mizoram (73), J&K (38), Punjab (01), Rajasthan (23) and Gujarat (64).

3.2 The concerned State Governments have been requested for early finalization of land acquisition cases for construction of additional BOPs in their respective States for timely completion of the project.

3.3 A target for construction of 83 BOPs during the current year was set up. But construction work of 31 BOPs could not be started in West Bengal due to non-finalisation of land acquisition by the State Government. Land acquisition by the States in all cases needs to be expedite to complete the project in a time bound manner.

3.4 In the last Chief Ministers Conference, the following decisions relating to Border Management were taken:

- (i) Find a more effective instrument to expedite the road building programme in border areas.
- (ii) Address of issue of porous nature of India Nepal border.

3.5 To address the issue of finding more effective instruments, road building programme in border areas, the Government has accorded priority to the development of road infrastructure in the border areas of the country. Financial assistance to the Border States is being provided under the Border Area Development Programme for development of border roads. Rs.635 crores is the financial outlay for the current year. The Government has undertaken the construction of 27 strategic roads along Indo-China border for providing connectivity to ITBP Out Posts (BOPs). In addition, It is proposed to undertake construction/upgradation of strategic roads in a length of 1417 Km of roads with 56 helipads at an estimated cost of Rs.2516.32 crore along Indo-Myanmar border. The proposal is under finalization for consideration of the CCS.

4. Construction of strategic Border Roads along the Indo-Nepal, Indo-Bhutan and Indo-Pakistan borders

4.1 The Government also proposes to develop the road infrastructure along Indo-Nepal, Indo-Bhutan and Indo-Pakistan borders. A proposal for construction and upgradation of roads along the Indo-Nepal, Indo-Bhutan and Indo-Pakistan borders has been approved by the Government on 18.11.2010. This proposal envisages construction of 1377 km of roads along Nepal border (173 km in Uttarakhand, 640 km in Uttar Pradesh and 564 km in Bihar) at an estimated cost of Rs.3853 crores, construction of 313 km of roads at an estimated cost of Rs.1259 crores along Bhutan border in Assam and construction of 255 km of roads at an estimated cost of Rs.550 crores along Pakistan Border in Gujarat has been approved.

4.2 To initiate the process of advance preparatory arrangements, a high level meeting was held under the Chairmanship of Secretary (BM) on 7th January, 2011. The officials of the State Governments and construction agencies (State PWD) were invited in the meeting. The senior representatives of Uttarakhand, Uttar Pradesh, Bihar and Gujarat participated. The State Government of Uttar Pradesh, Uttarakhand, Bihar, Assam and Gujarat are requested to expedite the advance preparatory work like land acquisition, statutory clearances etc. to start the project by April, 2011.

4.3 A proposal for construction of earthen bund, metalled road and naka-cum-machan-cum fighting bunkers along the home side of existing security fence (including land acquisition of 135 feet wide strip) over 179 km length of border, at an estimated cost of Rs.341 crore in Jammu Sector along Indo-Pakistan border is under consideration of the Government.

4.4 In so far as addressing the issue of porous Indo-Nepal border is concerned, 25 battalions of Sashastra Seema Bal (SSB) have been deployed. SSB has been maintaining heightened vigilance on the Indo-Nepal border to curb illegal activities including smuggling of arms, ammunition and Fake Indian Currency Notes. Further, Government proposes to strengthen the deployment of SSB on Indo-Nepal border. The Government has sanctioned 32 battalions with support and supervisory staff on 25.06.2010.

D. Coastal Security

1. Coastal Security

1.1 The Coastal Security Scheme, a supplemental initiative, was approved in January 2005 for implementation over a five-year period commencing 2005-06. The scheme has been extended by one year i.e. upto March 2011 with additional non-recurring expenditure of Rs. 95 crore (approx.). The scheme aims at enhancing coastal vigilance by strengthening infrastructure for patrolling and surveillance of the coastal areas and is being implemented in the 9 coastal States and 4 Union Territories. The details of provisions approved under the Coastal Security Scheme for the coastal States and Union Territories are given in the following table:

State/ UT	Sanctioned buildings		Made Operational	Construction complete	Construction in progress	Construction not yet started
Gujarat	Coastal PS	10	10	10	-	-
	Check-posts	25	25	25	-	-
	Out-posts	46	44	44	2	-
Maharashtra	Coastal PS	12	12	2	2	8
	Check-posts	32	32	19	-	13
	Barracks	24	24	18	-	6
Goa		3	3	-	2	1
Karnataka		5	5	5	-	-
Kerala		8	6	6	2	-
Tamil Nadu	Coastal PS	12	12	12	-	-
	Check-posts	40	35	31	9	-
	Out-posts	12	10	10	-	2
AP		6	6	6	-	-
Orissa		5	5	2	1	2
West Bengal	Coastal PS	6	6	3	1	2
	Barracks	6	4	4	-	2
Puducherry		1	1	-	1	-
Lakshadweep		4	4	1	2	1
Daman & Diu		1	1	1	-	-
A&N Islands		-	-	-	-	-
Total	Coastal PS	73	71	48	11	14
	Check-posts	97	92	75	9	13
	Out-posts	58	54	54	2	2
	Barracks	30	28	22	-	8

1.2 Although 71 coastal police stations have been operationalised, the construction work is complete in only 48. The progress of construction of check post, out-post, barracks etc. is satisfactory. The present extended scheme is scheduled to be completed by March, 2011. As such, all the coastal States and UTs particularly West Bengal, Maharashtra, Gujarat, Goa, Orissa, Tamil Nadu, Lakshadweep, and Puducherry are requested to complete the construction activities by March, 2011.

2. Supply of Interceptor Boats

2.1 The procurement of 204 interceptor boats (12 ton boats 120, 5 ton boats 84) is being done centrally through PSUs viz., M/s GSL Goa and M/s GRSE, Kolkata. So far 195 boats have been delivered to coastal States / UTs. and all the remaining boats will be supplied by March, 2011.

2.2 The norms for reimbursement of POL expenses have been revised to Rs. 4 lakh per month for each of the 5 ton boat and Rs. 5 lakh per month for each of the 12 ton boat and communicated to all the coastal States and UTs in October, 2010.

2.3 A meeting was held under the chairmanship of Secretary (Border Management) recently, to discuss the issue of maintenance of interceptor boats. A special drive was launched by GSL and GRSE for redressal of all the maintenance issues. Institutional mechanism has been developed and outsourcing is being done for regular upkeep and maintenance.

3. Approval of Coastal Security Scheme (Phase-II)

3.1 Based on the inputs / recommendations received from Coast Guard and the coastal States / UTs., the Coastal Security Scheme (Phase-II) has been approved by the Government on 24.9.2010. All the 9 Coastal States and UTs are requested to start advance preparatory work for implementation of Coastal Security Scheme (Phase-II). The actual implementation of the scheme will start from 01.04.2011. For firming- up of specifications of the boats under the Phase-II scheme, GRSE, Kolkata has held the workshop with the concerned coastal States/UTs and other stakeholders on 14-15 January, 2011 at Kolkata and GSL, Goa on 19-20 January, 2011 at Goa.

4. Salient Features of Coastal Security Scheme (Phase-II)

Physical plan (Non-recurring component)

4.1 The details of physical components being proposed under Phase-II of the Coastal Security Scheme are given in the following table:

S. No	Name of State/ UT	Costal Police Stations	Boats/Vessels		Number of jetties	four wheelers	Motor Cycles	Remarks
			12 Ton	Others				
1	Gujarat	12	31		5	12	24	
2	Maharashtra	7	14		3	7	14	
3	Goa	4	4		2	4	8	
4	Karnataka	4	12		2	4	8	
5	Kerala	10	20		4	10	20	
6	Tamil Nadu	30	20		12	30	60	
7	AP	15	30		7	15	30	
8	Orissa	13	26		5	13	26	
9	West Bengal	8	7		4	8	16	
10	Daman & Diu	2	4		2	2	4	
11	Lakshadweep	3	6	12 RIBs*	2	3	6	
12	Pondicherry	3	6		2	3	6	
13	A&N Islands	20		10 large vessels, 23 RIBs	10	20	20	Existing Police Stations to be upgraded to coastal Police Stations
								10 Marine Operational Centers are also proposed for the UT
	Total	131	180		60	131	242	

* RIBs : Rigid Inflatable Boats

** A lump sum assistance of Rs.15 lakh per police station is also given for surveillance equipments, including equipments enhancing night operation capabilities of boats, computer systems and furniture.

4.2 Recurring component

- POL expenses for the 180 boats to be procured under Phase-II of the Coastal Security Scheme.
- Maintenance expenses for the boats.
- Training expenses for marine personnel to be deployed under Phase-II of the Coastal Security Scheme.

Financial implications and phasing of expenditure

4.3 The total financial implication of the proposals contained in the Coastal Security Scheme (Phase-II) is estimated as Rs.1579.91 crore, (Rs.1154.91 crore for non-recurring expenditure and Rs.425 crore for recurring expenditure).

5. Issues relating to States/UTs

5.1 In the 4th Meeting of the '*National Committee on Strengthening Maritime and Coastal Security against threats from the Sea*', on Coastal Security under the chairmanship of Cabinet Security held on 23.11.2010, the Coastal States and UTs have been requested to put in necessary action in respect of the following important issues.

- a) Each State/UT may ensure completion of all residual construction work on coastal police stations, check posts, out-posts and operational barracks proposed under Phase-I of CSS, including the sizeable number where work has so far not even commenced, without fail by the extended timeline of March 2011.
- b) Each State/ UT may ensure taking prompt delivery of boats from the concerned shipyards as soon as they are ready for delivery.
- c) Expeditious recruitment of technical personnel by the coastal States and UTs for manning the boats under Coastal Security Scheme.
- d) Presently only Gujarat, Maharashtra and Tamil Nadu have Maritime Boards. All remaining States/ UTs may constitute State Maritime Boards expeditiously.
- e) All the coastal States/UTs should expedite the process of registration of boats under the new uniform format devised by M/o Shipping.
- f) All the coastal States/UTs should ensure early completion of data collection, digitization and production of ID cards for fishermen.
- g) Each State/ UT may constitute an Empowered Committee preferably under the chairpersonship of Chief Secretary for ensuring completion of all preparatory works for the measures/ initiatives approved under Phase-II of CSS by March 2011 and their full implementation within the fixed timelines thereafter.
- h) Crossing of IMBL by fishermen off Gujarat and Tamil Nadu needs to be checked by States taking deterrent measures against both boat crew and owners.
- i) Coastal security awareness should be created in the tourism industry (tour operators, hotels, guides, etc.), especially in Goa, which was identified as a weak area during coastal security exercises in Goa.
- j) Incidents of stowaways on ships for the mainland, which pose a security risk, should be plugged. A&N and Lakshadweep Islands could consider construction of watch towers and positioning police along with search lights, communication equipment, etc., on uninhabited islands.
- k) In Maharashtra, for instance, fishermen have been caught with blank/fake ID cards, in respect of which sensitisation of fishermen and ID Card issuing authorities may need to be carried out.
- l) Indian Navy is developing a concept of 'Maritime Domain Awareness (MDA)'. The coastal States and UTs may indicate their views/concerns while consultations made by India Navy.

Introduction to RFD Initiative

Performance Monitoring and Evaluation System (PMES)

Performance Management Division
Cabinet Secretariat
Government of India

Executive Summary

1. Background

Pursuant to the announcement made in the President's address to both Houses of the Parliament on June 4, 2009, Prime Minister approved the outline of the Performance Monitoring and Evaluation System (PMES) for Government Departments on September 11, 2009. The essence of PMES is as follows:

At the beginning of each financial year, with the approval of the Minister concerned, each Department will prepare a Results-Framework Document (RFD) consisting of the priorities set out by the Ministry concerned, agenda as spelt out in the manifesto if any, President's Address, announcements/agenda as spelt out by the Government from time to time. The Minister in-charge will decide the inter-se priority among the departmental objectives.

After six months, the achievements of each Ministry / Department will be reviewed by a Committee on Government Performance and the goals reset, taking into account the priorities at that point of time. This will enable to factor in unforeseen circumstances such as drought conditions, natural calamities or epidemics.

At the end of the year, all Ministries/Departments will review and prepare a report listing the achievements of their ministry/department against the agreed results in the prescribed format. This report will be expected to be finalized by the 1st of May each year.

2. Actions Taken

It was decided that in Phase I of implementation 59 ministries / departments out of a total of 84 will be covered under PMES. Actions taken to implement this decision can be categorized into three broad categories:

- (a) System Design: Reviewed international best practices and designed Guidelines and Checklists for preparing Results Framework Document (RFD); Created a Task Force of non-Government experts for reviewing the quality of RFDs.
- (b) Capacity Building: Conducted 20 intensive, hands-on training programs on RFD for around 650 senior officers in collaboration with IIM Ahmedabad and the IAS Academy at Mussoorie; Prepared training materials and manuals
- (c) Implementation: Received RFDs approved by concerned ministers; Organized meetings of the independent Task Force experts with ministries / departments to review their respective RFDs; Ensured that the revised RFDs are consistent with the suggestions of independent experts; Prepared results against achievements for 2009-2010 RFDs; Developed software to automate monitoring and evaluation of performance based on RFDs.

3. Progress Achieved

All 59 ministries and departments covered under Phase I finalized their Results-Framework Document (RFD) for the last quarter of 2009-2010. Similarly all 62 departments and ministries covered under Phase II also finalized their RFDs. This 100 % compliance in implementing the PMES was achieved as a result of the intensive capacity building exercise and enthusiastic cooperation from all ministries and departments.

The Results with respect to achievement against the commitments in 2009-2010 RFDs were approved by the High Power Committee on Government Performance on May 28, 2010, and submitted to the Prime Minister.

The Results-Framework Documents for 2010-2011 have also been finalized by departments and approved by the High Power Committee on Government Performance.

Performance Monitoring and Evaluation SYSTEM (PMES) for Government Department

1. What is the Performance Monitoring and Evaluation System (PMES)

This is a system to both “evaluate” and “monitor” the performance of Government departments. *Evaluation* involves comparing the actual achievements of a department against the annual targets. In doing so, an evaluation exercise judges the ability of the department to deliver results on a scale ranging from *excellent* to *poor*. *Monitoring* involves keeping a tab on the progress made by departments towards their annual targets.

PMES takes a comprehensive view of departmental performance by measuring performance of all schemes and projects (iconic and non-iconic) and all relevant aspects of expected departmental deliverables such as: financial, physical, quantitative, qualitative, static efficiency (short run) and dynamic efficiency (long run).

As a result of this comprehensive evaluation of all aspects relevant to citizen's welfare, this system provides a unified and single view of departmental performance.

By focusing on areas that are within the control of the department, PMES also ensures fairness and high levels of motivation.

2. How does it Work

The working of the PMES can be divided into the following three distinct periods during the fiscal year:

- A. Beginning of the Year (by April 1): Design of Results-Framework Document
- B. During the Year (after six months Oct. 1): Monitor progress against agreed targets
- C. End of the year (March 31): Evaluate performance against agreed targets

A. Beginning of the Year (by April 1): Design of Results-Framework Document

At the beginning of each financial year, with the approval of the Minister concerned, each department prepares a Results-Framework Document (RFD) consisting of the priorities set out by the Minister concerned, agenda as spelt out in the party manifesto if any, President's Address, announcements/agenda as spelt out by the Government from time to time. The Minister in-charge decides the *inter-se* priority among the departmental objectives.

To achieve results commensurate with the priorities listed in the Results-Framework document, the Minister incharge approves the proposed activities and schemes for the ministry/department. The Minister incharge also approves the corresponding success indicators (Key Result Areas KRAs or Key Performance Indicators KPIs) and time bound targets to measure progress in achieving these objectives.

The Results-Framework Document (RFD) prepared by each department seeks to address three basic questions:

- i. What are department's main objectives for the year?
- ii. What actions are proposed to achieve these objectives?
- iii. How to determine progress made in implementing these actions?

The RFD document consists of five sections listed below:

Section 1 Ministry's Vision, Mission, Objectives and Functions.

Section 2 *Inter se* priorities among key objectives, success indicators and targets.

Section 3 Trend values of the success indicators.

Section 4 Description and definition of success indicators and proposed measurement methodology.

Section 5 Specific performance requirements from other departments that are critical for delivering agreed results.

Section 1: Ministry's Vision, Mission, Objectives and Functions

This section provides the context and the background for the Results-Framework Document. Creating a Vision and Mission for a department is a significant enterprise. Ideally, Vision and Mission should be a byproduct of a strategic planning exercise undertaken by the department. Both concepts are interrelated and much has been written about them in management literature.

Section 2: Interse Priorities Among Key Objectives, Success Indicators and Targets

The heart of the Section 2 of the RFD document consists of the Table 1. In what follows we describe the each column of this Table.

Column 1: Key Departmental Objectives

From the list of all objectives, departments are expected select those key objectives that would be the focus for the current RFD. It is important to be selective and focus on the most important and relevant objectives only.

Table 1: Format of the Results-Framework Document (RFD)

Column 1	Column 2	Column 3	Column 4		Column 5	Col umn 6				
Objective	Weight	Actions	Success Indicator	Unit	Weight	Target / Criteria Value				
						Excellent	Very Good	Good	Fair	Poor
						100%	90%	80%	70%	60%
Objective 1		Action 1								
		Action 2								
		Action 3								
Obj ective 2		Action 1								
		Action 2								
		Action 3								
Objective 3		Action 1								
		Action 2								
		Action 3								

Column 2: Relative Weights to Objectives

Objectives in the RFD should be ranked in a descending order of priority according to the degree of significance and specific weights should be attached to these objectives. The Minister incharge will decide the *inter se* priorities among departmental objectives and all weights must add to 100.

Column 3: Means (Actions) for Achieving Departmental Objectives

For each objective, the department must specify the required policies, programmes, schemes and projects. These have to be approved by the concerned Minister. Often, an objective has one or more policies associated with it. An objective represents the desired "end" and associated policies, programs and projects represent the desired "means." The latter are listed as "actions" under each objective.

Column 4: Success Indicators

For each of the "action" specified in Column 3, the department must specify one or more "success indicators." They are also known as "Key Performance Indicators (KPIs)" or "Key Result Areas (KRAs)" A success indicator provides a means to evaluate progress in achieving the policy, programme, scheme and project. Sometimes more than one success indicator may be required to tell the entire story.

Column5: Relative Weights to Success Indicators

If we have more than one action associated with an objective, each action should have one or more success indicators to measure progress in implementing these actions. In this case we will need to split the weight for the objective among various success indicators associated with the objective.

Column6: Targets for Success Indicators

The next step for the concerned departments is to choose a target for each success indicator. Targets are tools for driving performance improvements. Target levels, therefore, contain an element of stretch and ambition. The targets are presented as a five-point scale as follows:

Excellent	Very Good	Good	Fair	Poor
100 %	90 %	80 %	70 %	60 %

It is expected that budgetary targets would be placed at 90% (Very Good). For any performance below 60%, the department would get a score of 0%.

Section3: Trend values of the success indicators

For every success indicator and the corresponding target, RFD must provide actual values for the past two years and also projected values for two years in the future.

Table 2: Trend Value for Success Indicators

Objective	Actions	Success Indicator	Unit	Actual Value for FY 07/08	Actual Value for FY 08/09	Target Value for FY 09/10	Projected Value for FY 10/11	Projected Value for FY 11/12
Objective 1	Action 1							
	Action 2							
	Action 3							
Objective 2	Action 1							
	Action 2							
	Action 3							
Objective 3	Action 1							
	Action 2							
	Action 3							

Section 4: Description and definition of success indicators and proposed measurement methodology.

RFD must contain a section giving detailed definitions of various success indicators and the proposed measurement methodology. Wherever possible, the rationale for using the proposed success indicators may be provided.

Section 5: Specific performance requirements from other departments that are critical for delivering agreed results.

This section should contain expectations from other departments that impact on the department's performance. These expectations should be mentioned in quantifiable, specific, and measurable terms.

Once the RFD has been prepared and approved by the concerned Minister it is sent to A High Power Committee (HPC) on Government Performance. This HPC ensures coordination and consistency among departments.

B. During the Year (after six months Oct. 1): Monitor progress against targets

After six months, the Results-Framework Documents (RFD) as well as the achievements of each Ministry/Department against the performance goals laid down, may have to be reviewed and the goals reset, taking into account the priorities at that point of time. This enables Government to factor in unforeseen circumstances such as drought conditions, natural calamities or epidemics.

C. End of the year (March 31): Evaluation of performance against agreed targets

At the end of the year, we look at the achievements of the government department, compare them with the targets, and determine the composite score. Table 3 (on next page) provides an example from the health sector. For simplicity, we have taken on one objective to illustrate the evaluation methodology.

The Raw Score for Achievement in Column 6 of Table 3 is obtained by comparing the achievement with the agreed target values. For example, the achievement for first success indicator (% increase in primary health care centers) is 15 %. This achievement is between 80 % (Good) and 70 % (Fair) and hence the "Raw Score is" 75%.

The Weighted Raw Score for Achievement in Column 6 is obtained by multiplying the Raw Score with the relative weights. Thus for the first success indicator, the Weighted Raw Score is obtained by multiplying 75% by 0.50. This gives us a weighted score of 37.5% Finally, the Composite Score is calculated by adding up all the weighted Raw Scores for achievements. In Table 3, the Composite Score is calculated to be 84.5.

The composite score shows the degree to which the government department in question was able to meet its objective. The fact that it got a score of 84.5 % in our hypothetical example implies that the department's performance vis-à-vis this objective was rated as "Very Good."

The methodology outlined above is transcendental in its application. Various Government departments will have a diverse set of objectives and corresponding success indicators. Yet, at the end of the year every department will be able to compute its Composite Score for the past year. This Composite Score will reflect the degree to which the department was able to achieve the promised results.

Departmental Rating	Value of Composite Score
Excellent =	100% - 96%
Very Good =	95% - 86%
Good =	85 - 76%
Fair =	75% - 66%
Poor =	65% and below

Table 3: Example of Performance Evaluation at the End of the Year

Column 1	Column 2	Column 3		Column 4	Column 5					Column 6			
Objective	Action	Criteria / Success Indicators		Unit	Weight	Target / Criteria Values					Achievement	Raw Score	Weighted Raw Score
						Excellent	Very Good	Good	Fair	Poor			
						100%	90%	80%	70%	60%			
Better Rural Health	Improve Access to Primary Health Care	1	% Increase in number of primary health care centers	%	.50	30	25	20	10	5	15	75%	37.5%
		2	% Increase in number of people with access to a primary health center within 20 KMs	%	.30	20	18	16	14	12	18	90%	27%
		3	Number of hospitals with ISO 9000 certification by December 31, 2009	%	.20	500	450	400	300	250	600	100%	20%
Composite Score =												84.5%	

3. When was it introduced

Pursuant to the announcement made in the President's address to both Houses of the Parliament on June 4, 2009, Prime Minister approved the outline of the Performance Monitoring and Evaluation System (PMES) for Government Departments on September 11, 2009.

4. Why is it required

The current systems for accountability for results in Government suffer from several limitations. PMES has examined these limitations and is designed to overcome these limitations. Examples of these limitations follow:

- a) There is fragmentation of institutional responsibility for performance management. Departments are required to report to multiple principals who often have multiple objectives that are not always consistent with each other. A

department could be reporting to the Department of Programme Implementation on important programmes and projects, Department of Public Enterprises on the performance of PSUs under it, Department of Expenditure on performance in relation to Outcome Budgets, Planning Commission on plan targets; CAG regarding the procedures, processes, and even performance; Cabinet Secretariat on cross cutting issues and issues of national importance; Minister in-charge on his priorities; Standing Committee of the Parliament on its annual report and other political issues; etc.

- b) Similarly, several important initiatives have fractured responsibilities for implementation and hence accountability for results is diluted. For example, E-Government initiatives are being led by the Department of Information Technology, Department of Administrative Reforms and Public Grievances, NIC, as well as individual ministries.
- c) Some of the systems are selective in their coverage and report on performance with a significant time-lag. The comprehensive Performance Audit reports of the CAG are restricted to a small group of schemes and institutions (only 14 such reports were laid before the parliament in 2008) and come out with a substantial lag. Often, by the time these reports are produced both the management and the issues facing the institutions change.

The reports of enquiry commissions and special committees set-up to examine performance of government departments, schemes and programmes suffer from similar limitations.

- d) Most performance management systems are conceptually flawed. As mentioned earlier, an effective performance evaluation system is at the heart of an effective performance management system. Typically, performance evaluation systems in India suffer from two major conceptual flaws. First they list a large number of targets that are not prioritized. Hence, at the end of the year it is difficult to ascertain performance. For example, simply claiming that 14 out of 20 targets were met is not enough. It is possible that the six targets that were not met were in the areas that are the most important areas of the department's core mandate.

Similarly, most performance evaluation systems in the Government use single point targets rather than a scale. This is the second major conceptual flaw and it makes it difficult to judge deviations from the agreed target. For example, how are we to judge the performance of the department if the target for rural roads for a particular year is 15000 KMs and the achievement is 14500 KMs?

In the absence of explicit weights attached to each target and a specific scale of deviations, it is impossible to do a proper evaluation.

5. What is the international experience in this area?

- a. Similar policies used widely in developed and developing countries

The inspiration for this policy is derived from the recommendations of the Second Administrative Reform Commission (ARC II).

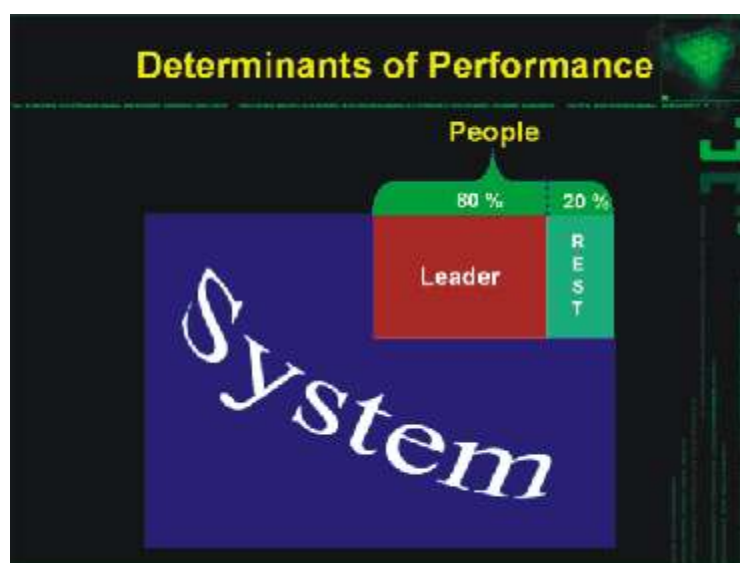
In the words of Second Administrative Reform Commission (ARC II):

- “Performance agreement is the most common accountability mechanism in most countries that have reformed their public administration systems.”
- “At the core of such agreements are the objectives to be achieved, the resources provided to achieve them, the accountability and control measures, and the autonomy and flexibilities that the civil servants will be given.”

Similar policies are being used in most OECD countries. The leading examples of this policy come from New Zealand, United Kingdom and USA. In the USA, the US Congress passed a law in 1994 called the Government Performance Results Act. Under this law the US President is obliged to sign a Performance Agreement with his Cabinet members. In the UK, this policy is called Public Service Agreement. In developing countries, the best examples come from Malaysia and Kenya.

b. Importance of Management Systems

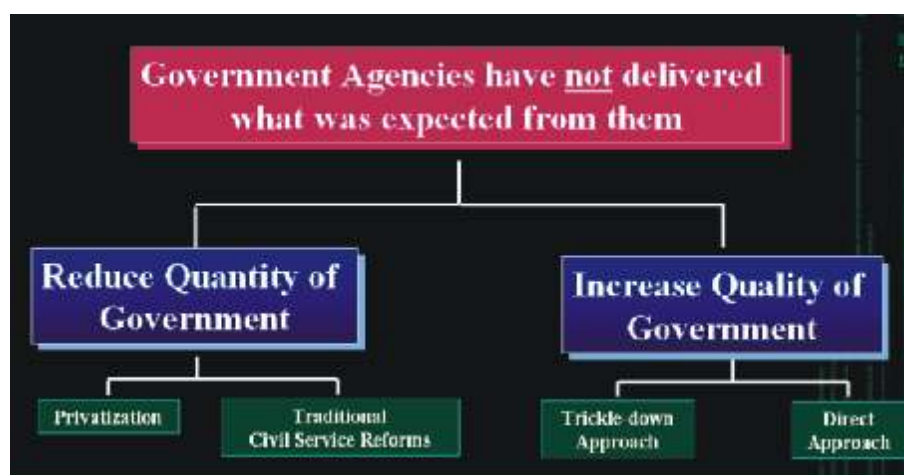
As depicted in the figure below, all management experts agree that around 80% of the performance of any organization depends on the quality of the systems used. That is why the focus of PMES is on improving management control systems within the Government.



c. Shift in Focus from “Reducing Quantity of Government” to “Increasing Quality of Government”

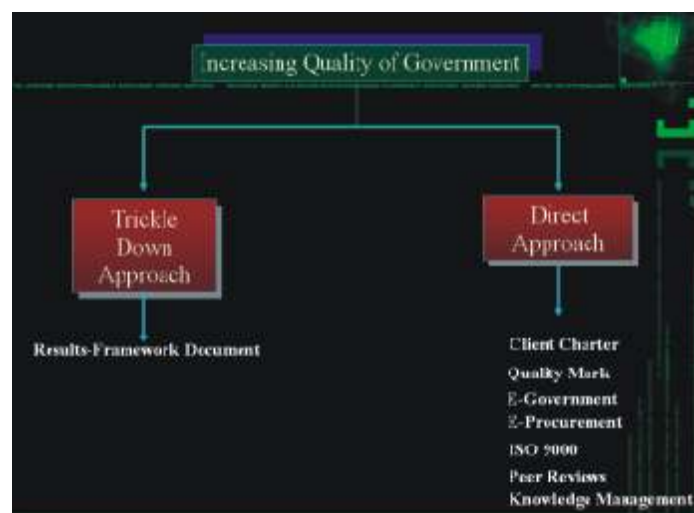
Figure below depicts a distinct world-wide trend in managing government performance. In response to perceived dissatisfaction with performance of government agencies, governments around the world have taken certain steps. These steps can be divided into two broad categories: (a) reduction in quantity of government, and (b) increase in quality of government. Over time most governments have reduced their focus on reducing the quantity of government

and increased their focus on improving the quality of government. The former is represented by traditional methods of government reform such as golden handshakes, cutting the size of government departments, outright sale of public assets through privatization.



The policies undertaken by various governments to increase the quality of government can be further classified into two broad approaches: (a) Trickle-down approach, and (b) Direct Approach.

PMES falls under trickle down approaches as it holds the top accountable and the accountability for results eventually trickles down to the lowest echelons of management. It creates a sustainable environment for implementing all reforms. The generic name of PMES is performance Agreement. These approaches have a sustainable impact on all aspects of performance in the long run. The Direct approach, on the other hand, consists of many instruments of performance management that have a direct impact on some aspect of performance. Thus these approaches are complementary and not substitutes for each other. In fact, PMES makes use of these direct approaches by making citizens' charter and grievance redressal systems a mandatory requirement for all government departments in their RFDs.



6. What has been the progress in implementation

6.1 Phase I (January 1 March 31, 2010)

It was decided that in Phase I of implementation 59 ministries / departments out of a total of 84 will be covered as a pilot under PMES. Actions taken to implement pilot RFDs for January 1 March 31, 2010, can be categorized into three broad categories:

- (a) System Design Reviewed international best practices and designed Guidelines and Checklists for preparing Results Framework Document (RFD); Created a Task Force of non-Government experts for reviewing the quality of RFDs.
- (b) Capacity Building Conducted 18 intensive, hands-on training programs on RFD for around 650 senior officers in collaboration with IIM Ahmedabad and Lal Bahadur Shastri National Academy for Administration; Prepared training materials and manuals.
- (c) Implementation Received RFDs approved by concerned ministers; Organized meetings of the independent Task Force experts with 62 ministries / departments to provide feedback on their respective RFDs; Ensured that the revised RFDs are consistent with the suggestions of independent experts; Developed a software to automate monitoring and evaluation of performance based on RFDs; and prepared results on the basis of achievements against the commitments in RFDs for 2009 - 2010.

All 59 ministries and departments finalized on-time their Results-Framework Document (RFD) for the last quarter of 2009-2010. Similarly, all 62 departments / ministries covered under Phase II have finalized RFDs for 2010-2011. This 100 % compliance in implementing the PMES was achieved as a result of intensive capacity building exercise and enthusiastic cooperation from all ministries and departments.

Results for 2009-2010 RFDs

The deadline for submitting achievement figures against the commitments made in RFDs was May 1, 2010. We are happy to report that all 59 departments have submitted their results in the form of departmental Composite Score. These preliminary results were checked by the Performance Management Division, Cabinet Secretariat, for errors of omission and commission and suitable adjustments were made to the results submitted by the departments. These adjustments were also vetted by an independent group of experts (Ad-hoc Task Force).

On May 28, 2010, these results were approved by the High Power Committee (HPC) on Government Performance. Since the RFD exercise for 2009-2010 was only limited to last quarter (January 1 March 31, 2010, HPC decided to only declare the composite scores for the departmental performance without mentioning implied ratings / categories (e.g. Excellent, Very Good, Good...)

While the tasks performed and the targets for various departments are different, yet their ability to meet their commitments can be compared. Thus a score of 100 % implies that all targets for the departments approved by the concerned Minister were fully achieved. These results can be summarized as follows:

Mean (Average) Score	89.40
Number of departments above average	37 (63%)
Number of departments below average	22 (37%)

6.2 Phase II (2010-2011)

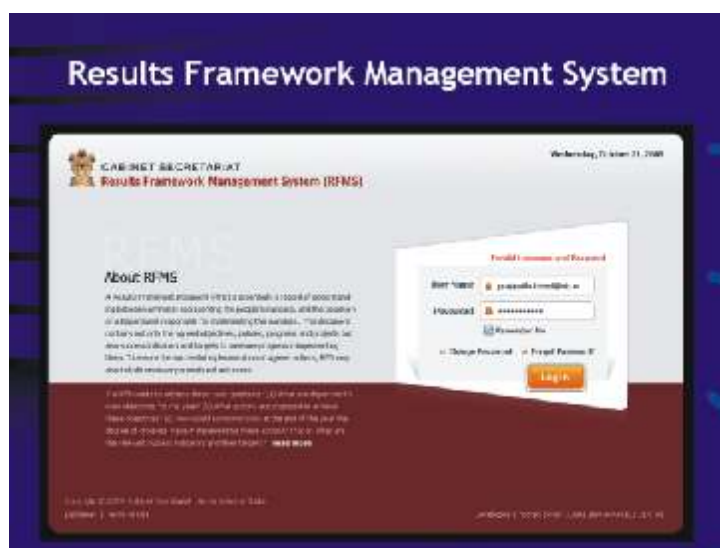
In Phase II of implementation, the following three departments were added to the Phase I list of 59 departments:

- Department of Personnel and Training
- Department of Administrative Reforms and Public Grievances
- Department of Pensions and Pensioners Welfare

All 62 departments in Phase II have submitted their RFDs and they have been reviewed by the Ad-hoc Task Force (ATF) of non-Government experts. Departments have also revised their RFDs based on changes agreed between the Task Force and the concerned department. The revised RFDs so finalized were approved by the High Power Committee on Government Performance on May 28, 2010.

6.3 Use of Computer and E-Governance

Cabinet Secretariat has developed, in collaboration with NIC, powerful software to allow all transactions related to implementation of RFD to be carried on-line. This has already led to use of less paper and it is expected to eventually lead to a paperless environment for implementing RFDs. It is already being used by all departments on a pilot basis. From next year we will make a full transition to this system. The following figure presents a screen shot of the system.



6.4 Adoption by State Governments

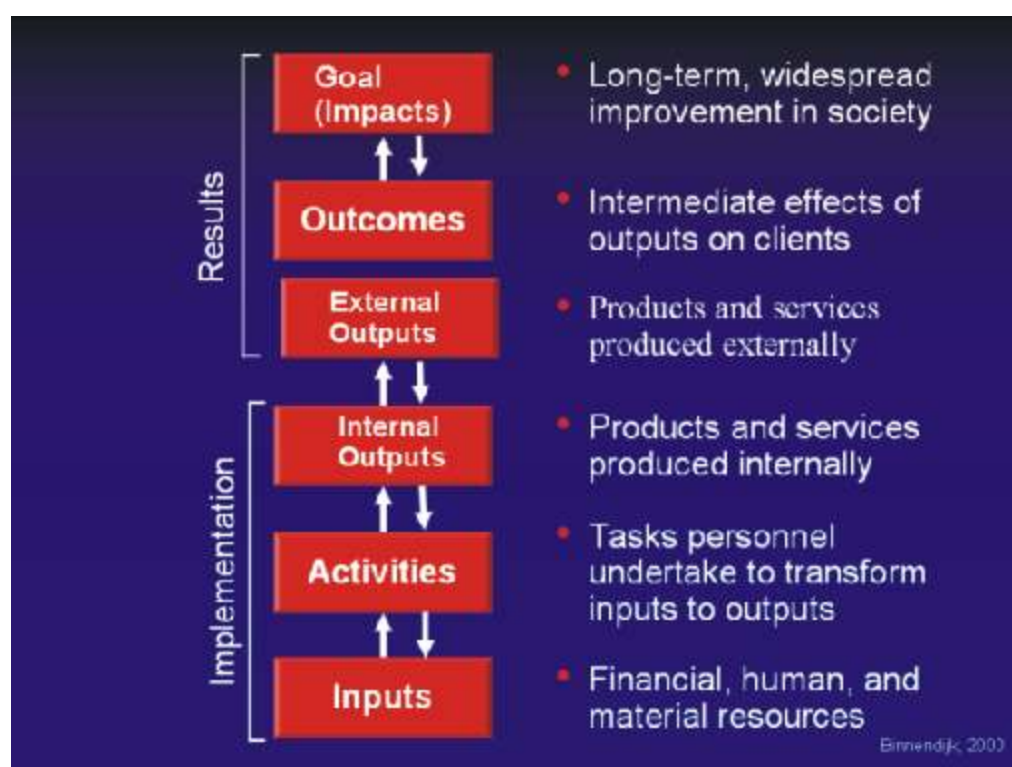
There is interest among State governments in PMES. Two states Maharashtra and Punjab have declared their intentions to adopt a Performance Monitoring and Evaluation System patterned after the PMES for the Central Government. Cabinet Secretariat (Performance Management Division) is providing active technical assistance and support in ensuring effective implementation of the system in these two states.

6.5 Interest by other countries

At the request of SAARC Cabinet Secretaries, India organized a SAARC Workshop on PMES / RFD. This workshop was well received and has generated more interest from SAARC countries in adopting a similar policy in their countries. Bhutan has already extended a formal invitation for technical assistance in this regard. Pakistan has approached us through the SAARC Secretariat for a similar workshop in Pakistan.

7. What are the key challenges

The following figure gives the typical results chain.



The following table analyzing the RFDs prepared by the 59 departments / ministries summarizes the quality of documents produced. From this table it is clear that the focus of most departments is on process-oriented indicators focusing on the lower end of the results chain. Therefore, one key challenge is to move the department up on this chain:

Average Number of Objectives per RFD	7.65
Average Number of Success Indicators per Objective	4.00
% of process - oriented Success Indicators	62.92 %
% of out come - oriented Success Indicators	37.08 %
% of Success Indicators Dealing with Quality Aspects of Results	12.54 %
% of Success Indicators Dealing with Stakeholders	16.58 %
Planning Commission Procedures as a Constraint on Performance	41.87 %
Ministry of Finance Procedures as a Constraint on Performance	47.89 %

8. What are key Next Steps

- a. Implementation of Performance Related Incentives recommended by 4th, 5th and 6th Pay Commissions

The Sixth Pay Commission was set up by the Government of India on October 5, 2006, and it submitted its report on March 24, 2008. These recommendations were considered by the Government and a decision was taken to accept them (with some modifications) as a package on August 29, 2008.

These recommendations can be broadly divided into two categories: (a) level and structure of benefits; and (b) performance related incentives. The former have since been implemented whereas the latter have not been implemented as yet.

Payment of incentives based on performance is not a new concept. The earlier two Pay Commissions i.e. Fourth and Fifth Pay Commissions had also commented on the issue of rewarding performance. The Fourth Central Pay Commission had recommended variable increments for rewarding better performances. The Fifth Central Pay Commission had recommended the scheme of performance related increments for all Central Government employees where an extra increment was to be paid to the exceptionally meritorious performers with the under-performers being denied even the regular/normal increment.

Given the central role that incentives play in improving performance of employees in public and private sectors, it is a matter of urgency to implement a performance related incentive scheme. The proposed scheme is intended to be budget neutral. The Cabinet Secretariat is working towards this goal.

- b. Reform of the Performance Appraisal Report (PAR)

There seems to be widespread dissatisfaction with the working of the PAR system at all levels in the Government. There is a perception that the attempts to quantify

and bring objectivity have not been successful. Most officers expect to get a perfect score of 10 and usually get it. Thus, creating a situation where every individual officer is rated excellent yet the performance of the department as a whole is not considered anywhere close to being excellent.

Even though the current PAR system is barely three years old, it is clear that it is also not achieving all its stated goals. The "General Guidelines for Filling up the Form" state:

"Performance appraisal should be used as a tool for career planning and training, rather than a mere judgmental exercise. Reporting Authorities should realize that the objective is to develop an officer so that he/she realizes his/her true potential. It is not meant to be a faultfinding process but a developmental tool."

Contrary to expectations, the primary purpose of the PAR exercise seems to have become an instrument to judge officers. It is not seen to be playing any role in the development or training of officers. Thus urgent reform of PAR is also required and the Cabinet Secretariat is working towards it.

Results Framework Document
(RFD)
Department of School Education & Literacy
Government of India

Section 1

Vision, Mission, Objectives and Functions

Vision

To ensure education of equitable quality for all to fully harness the nation's human potential.

Mission

- a. Reinforce the national and integrative character of education in partnership with States/UTs.
- b. Improve quality and standards of school education and literacy towards building a society committed to Constitutional values.
- c. Provide free and compulsory quality education to all children at elementary level as envisaged under the RTE Act, 2009.
- d. Universalise opportunities for quality secondary education.
- e. Establish a fully literate society.

Objectives

- 1 i) Access: Expansion of quality school education.
- 2 ii) Equity: Inclusion of disadvantaged groups and weaker sections.
- 3 iii) Quality: Improving standards of education.
- 4 iv) Formulating policy and carrying out institutional and systemic reforms.

Functions

- 1 i) To formulate and implement policies and programmes for elementary education, secondary education, literacy and continuing education for adults.
- 2 ii) To set up programmatic structures for administration, fund devolution and monitoring of schemes and programmes of the Department.
- 3 iii) To develop mechanisms for coordination, consultation and monitoring of performance of the State/UT Governments in respect of the various programmes and schemes of the Department.
- 4 iv) To fulfil international commitments relating to Education For All (EFA) and Millennium Development Goals (MDG).
- 5 v) To monitor the functioning of subordinate/autonomous bodies/organizations: Directorate of Adult Education, Kendriya Vidyalaya Sangathan, Navodaya Vidyalaya Samiti, v) Central Board of Secondary Education, National Institute of Open Schooling, Central Tibetan School Administration, National Council for Teacher Education, National Bal Bhawan and the National Council for Educational Research and Training.
- 6 vi) Entering into RFD with above mentioned organizations.

Section 2

Interse Priorities among Key Objectives, Success Indicators and Targets

Objective	Weight	Action	Success Indicator	Unit	Weight	Target / Criteria Value				
						Excellent	VeryGood	Good	Fair	Poor
						100%	90%	80%	70%	60%
1 i)Access: Expansion of quality school education.	18.00	Opening of schools / centres.	i)Opening primary schools	Schools	2.88	4000	3600	3200	2800	2400
			ii)Opening upper primary schools	Schools	2.88	12000	10800	9600	8400	7200
			iii)Approval of new secondary schools.	Schools	1.80	2250	2000	1800	1600	1400
		Opening / upgradation of Adult Education Centres	Setting up of new Adult Education Centres	No. of AE Centres	1.80	100	75	50	40	25
			Renewal of old Adult Education Centres	No. of AE Centres	0.90	45000	40000	35000	30000	20000
		Starting of adult literacy classes	Starting of classes by September 2010	No. of classes	1.80	60000	50000	40000	30000	20000
		Improvement of infrastructure	Construction of additional classrooms (elementary)	Classrooms	2.97	100000	90000	80000	70000	60000
2 ii)Equity: Inclusion of disadvantaged groups and weaker sections	18.00	Girls' Education	Construction of Kitchen-cum-stores in Elementary Schools	No. of Kitchen-cum-Stores constructed	2.97	65000	60000	55000	50000	45000
			% of girls enrolled in KGBV against total KGBV capacity	% Girls	3.00	95	90	85	80	75
			Approval of girls hostels at secondary level	No. of hostels	2.00	425	400	360	320	280
		Support to minority population	Share of SC children enrolled in schools as a % of their population	% of SC Population	1.00	19	18	17	16	15
			Share of ST children enrolled in schools as a % of their population	% of ST Population	1.00	11	10	9	8	7
		Provision of Mid Day Meal to Children	Sanction of funds to State/UT Governments	Rs. in crores	2.00	8700	8500	7650	6800	5950

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Section 2

Interse Priorities among Key Objectives, Success Indicators and Targets

Objective	Weight	Action	Success Indicator	Unit	Weight	Target / Criteria Value				
						Excellent	VeryGood	Good	Fair	Poor
						100%	90%	80%	70%	60%
3 iii)Quality: Improving standards of education.		Inclusive education for children with special needs	Approval for making Govt. & Govt. aided secondary & higher secondary schools inclusive for disabled children	No. of Schools	2.00	550	500	450	400	350
		Increased coverage of women under Saakshar Bharat	Operationalisation of programme in low female literacy districts	No. of districts	3.00	100	80	60	50	40
		Coverage under skill Development Programme	Survey and identification of potential adult learners	No. of learners	2.00	10000000	8000000	6000000	5000000	4000000
			Coverage of learners under skill development programme	No. of learners	2.00	550000	500000	400000	300000	200000
	27.00	1Additional teachers at elementary level	Recruitment of Teachers under SSA	Teacher \$	2.89	50000	45000	40000	35000	30000
		Pre-service teacher training	Release of funds to Govt. teacher training Institutes.	Rs. In Crore	1.93	400	360	320	280	240
		In-service teacher training	Elementary teachers to be trained	Teacher s in lakhs	1.93	42	38	36	32	28
			Secondary teachers to be trained	Teacher \$	1.93	105000	100000	90000	80000	70000
			Training of CBSE teachers in Continuous and Comprehensive Evaluation methods	Teacher \$	1.93	21500	20000	18000	16000	14000
		Training of Resource Persons and teachers under Saakshar Bharat	Training of key resource persons / master trainers	In numbers	1.93	6000	5000	4000	3000	2000
			Training of Voluntary Teachers	In numbers	1.93	100000	80000	60000	40000	20000
		Development of model syllabi for pre-service teacher education	Finalization of model syllabi	Date	1.93	30/06/2010	15/07/2010	30/07/2010	14/08/2010	29/08/2010

Contd.....

Section 2

Interse Priorities among Key Objectives, Success Indicators and Targets

Objective	Weight	Action	Success Indicator	Unit	Weight	Target / Criteria Value				
						Excellent	VeryGood	Good	Fair	Poor
						100%	90%	80%	70%	60%
4 iv) Formulating policy and carrying out institutional and systemic reforms.	24.00	Opening of Model Schools as benchmark of excellence	Approval for opening of Model schools	No. of Model schools	1.93	300	270	240	210	180
		Coverage of schools under ICT@ Schools Scheme	Approval for coverage of schools	No. of schools	1.93	5500	5000	4500	4000	3500
		Development of prototype / exemplar teaching learning material for Saakshar Bharat	Approval of prototype of quality assured primers	No. of languages	2.89	7	5	3	2	1
		Learner assessment under Saakshar Bharat	Approval for new State Resources Centres(SRCs)	No. of SRCs	1.93	5	4	3	2	1
			First assessment of learners by September 8 2010	No. of Districts	0.97	50	40	35	30	25
			Second round of assessment of learners by March 31 2011	No. of Districts	0.97	50	40	35	30	25
			Formulation of EFC note	Date	0.96	20/04/2010	30/04/2010	15/05/2010	31/05/2010	15/06/2010
		Policy 1. Aligning SSA norms with RTE	Integrating DISE and SES systems	No. of States	1.92	6	5	4	3	2
		3. Restructuring Teacher Education Programme	Formulation of EFC note	Date	0.96	30/04/2010	15/05/2010	31/05/2010	15/06/2010	30/06/2010
		4. National Policy on ICT in School Education	Placing the draft of the policy in Public Domain	Date	1.92	30/09/2010	31/10/2010	30/11/2010	31/12/2010	31/01/2011
		Curricular Reform 1. Core curriculum of Science and Mathematics at Higher Secondary stage.	Finalizing the core curriculum	Date	1.92	31/01/2011	15/02/2011	28/02/2011	15/03/2011	31/03/2011
		2. Core curriculum of Commerce at Higher Secondary stage	Finalizing the core curriculum	Date	1.92	31/01/2011	15/02/2011	28/02/2011	15/03/2011	31/03/2011
		3. Curriculum framework for Adult Literacy	Placing the draft of the policy in Public Domain	Date	1.92	15/02/2011	28/02/2011	15/03/2011	25/03/2011	31/03/2011

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Section 2

Interse Priorities among Key Objectives, Success Indicators and Targets

Objective	Weight	Action	Success Indicator	Unit	Weight	Target / Criteria Value				
						Excellent	Very Good	Good	Fair	Poor
						100%	90%	80%	70%	60%
		Programme Management 1. Approval of SSA AWP&B 2010-11	Completion of PAB meetings of all States/UTs	Date	1.92	31/05/2010	15/06/2010	30/06/2010	15/07/2010	30/07/2010
		2. Approval of MDM AWP&B 2010-11	Completion of PAB meetings of all States/UTs	Date	1.92	31/05/2010	15/06/2010	30/06/2010	15/07/2010	30/07/2010
		3. Streamlining use of fund earmarked for Management Monitoring and Evaluation (MME) under MDM	Finalisation of guidelines	Date	0.96	31/07/2010	14/08/2010	29/08/2010	14/09/2010	29/09/2010
		4. Development of web portal for MDM	Commissioning of web portal for use	Date	0.96	15/03/2011	20/03/2011	23/03/2011	26/03/2011	31/03/2011
		5. Development of grievance redressal mechanism for MDM	Issue of guidelines to States/UTs	Date	0.96	30/06/2010	31/07/2010	15/08/2010	31/08/2010	30/09/2010
		6. Scheme for Model Schools under PPP	Formulation of Scheme	Date	1.92	30/09/2010	31/10/2010	30/11/2010	31/12/2010	31/01/2011
		7. Establishing a banking and fund flow system for Saakshar Bharat	Opening of Subsidiary Bank Account	No. of Subsidiary Bank Accounts	0.96	25000	20000	15000	10000	8000
		8. Introduction of Planning and Management Information System for Saakshar Bharat	Activation of MIS for Saakshar Bharat	Date	0.96	31/12/2010	31/01/2011	28/02/2011	15/03/2011	31/03/2011
		9. Introduction of Web Accounting and Decision Support System by CDAC	Activation of Web Accounting and Decision Support System by CDAC	Date	0.96	30/09/2010	31/10/2010	30/11/2010	31/12/2010	31/01/2011
		10. Management Information System for Scheme of Support to Voluntary Agencies for Adult Education and Skill Development	Development of MIS	Date	0.96	31/12/2010	31/01/2011	28/02/2011	15/03/2011	31/03/2011
* Efficient Functioning of the RFD System	5.00	Timely submission of Draft for Approval	On-time submission	Date	2.00	05/03/2010	08/03/2010	09/03/2010	10/03/2010	11/03/2010

* Mandatory Objective(s)

Contd.....

Section 2

Interse Priorities among Key Objectives, Success Indicators and Targets

Objective	Weight	Action	Success Indicator	Unit	Weight	Target / Criteria Value				
						Excellent	VeryGood	Good	Fair	Poor
						100%	90%	80%	70%	60%
* Improving Internal Efficiency / Responsiveness / Service delivery of Ministry / Department	6.00	Timely submission of Results	On- time submission	Date	1.00	02/05/2011	03/05/2011	04/05/2011	05/05/2011	06/05/2011
		Finalize a Strategic Plan	Finalize the Strategic Plan for next 5 years	Date	2.00	10/12/2010	15/12/2010	20/12/2010	24/12/2010	31/12/2010
		Develop RFDs for all Responsibility Centers (Subordinate Offices, Attached Offices, Autonomous Bodies)	Percentage of RCs covered	%	2.00	100	95	90	85	80
		Implementation of Sevottam	Create a Sevottam compliant to implement, monitor and review Citizen's Charter	Date	1.00	01/10/2010	05/10/2010	11/10/2010	15/10/2010	20/10/2010
			Create a Sevottam Compliant system to redress and monitor public Grievances	Date	1.00	01/10/2010	05/10/2010	11/10/2010	15/10/2010	20/10/2010
* Ensuring compliance to the Financial Accountability Framework	2.00		Independent Audit of Implementation of Citizen's Charter	%	1.00	100	95	90	85	80
			Independent Audit of implementation of public grievance redressal system	%	1.00	100	95	90	85	80
		Timely submission of ATNS on Audit Paras of C&AG	Percentage of ATNS submitted within due date (4 months) from date of presentation of Report to Parliament by CAG during the year.	%	0.50	100	90	80	70	60
		Timely submission of ATRs to the PAC Sectt. on PAC Reports.	Percentage of ATRs submitted within due date (6 months) from date of presentation of Report to Parliament by PAC during the year.	%	0.50	100	90	80	70	60

* Mandatory Objective(s)

Contd.....

Section 2

Interse Priorities among Key Objectives, Success Indicators and Targets

Objective	Weight	Action	Success Indicator	Unit	Weight	Target / Criteria Value				
						Excellent	VeryGood	Good	Fair	Poor
						100%	90%	80%	70%	60%
		Early disposal of pending ATNs on Audit Paras of C&AG Reports presented to Parliament before 31.3.2010.	Percentage of outstanding ATNs disposed off during the year.	%	0.50	100	90	80	70	60
		Early disposal of pending ATRs on PAC Reports presented to Parliament before 31.3.2010	Percentage of outstanding ATRs disposed off during the year.	%	0.50	100	90	80	70	60

* Mandatory Objective(s)

Section 3

Trend Values of the Success Indicators

Objective	Action	Success Indicator	Unit	Actual Value for FY 08/09	Actual Value for FY 09/10	Target Value for FY 10/11	Projected Value for FY 11/12	Projected Value for FY 12/13
1 i) Access: Expansion of quality school education.	Opening of schools / centres.	i) Opening primary schools	Schools	8000	7600	4000	5000	5000
		ii) Opening upper primary schools	Schools	15576	12013	12000	8000	8000
		iii) Approval of new secondary schools.	Schools	0	--	2000	5000	5000
	Opening / upgradation of Adult Education Centres	Setting up of new Adult Education Centres	No. of AE Centres	--	20	100	50000	--
		Renewal of old Adult Education Centres	No. of AE Centres	--	1000	45000	25000	--
	Starting of adult literacy classes	Starting of classes by September 2010	No. of classes	--	--	60000	1000000	--
2 ii) Equity: Inclusion of disadvantaged groups and weaker sections	Improvement of infrastructure	Construction of additional classrooms (elementary)	Classrooms	233000	120000	100000	100000	100000
		Construction of Kitchen-cum-stores in Elementary Schools	No. of Kitchen-cum-stores constructed	--	--	65000	75000	75000
	Girls' Education	% of girls enrolled in KGBV against total KGBV capacity	% Girls	80	82.5	90	92.5	95
		Approval of girls hostels at secondary level	No. of hostels	0	--	400	1500	1250
	Support to minority population	Share of SC children enrolled in schools as a % of their population	% of SC Population	19.72	20.00	20.25	20.25	20.50
		Share of ST children enrolled in schools as a % of their population	% of ST Population	11.04	11.25	11.25	11.25	11.50
	Provision of Mid Day Meal to Children	Sanction of funds to State/UT Governments	Rs. in crores	6688.02	6942.18	9440.00	11436.02	12000.00
	Inclusive education for children with special needs	Approval for making Govt. & Govt. aided secondary &	No. of Schools	--	--	500	1500	1500

Contd.....

Section 3

Trend Values of the Success Indicators

Objective	Action	Success Indicator	Unit	Actual Value for FY 08/09	Actual Value for FY 09/10	Target Value for FY 10/11	Projected Value for FY 11/12	Projected Value for FY 12/13
3 iii)Quality: Improving standards of education.		higher secondary schools inclusive for disabled children						
	Increased coverage of women under Saakshar Bharat	Operationalisation of programme in low female literacy districts	No. of districts	--	50	100	215	--
	Coverage under skill Development Programme	Survey and identification of potential adult learners	No. of learners	--	1000000	1000000	25000000	--
		Coverage of learners under skill development programme	No. of learners	--	500000	550000	600000	--
	1 Additional teachers at elementary level	Recruitment of Teachers under SSA	Teachers	76617	60000	50000	50000	50000
	Pre-service teacher training	Release of funds to Govt. teacher training Institutes.	Rs. In Crore	253.71	326.13	400	1000	1500
	In-service teacher training	Elementary teachers to be trained	Teachers in lakhs	31.61	40.59	41.00	41.00	42.00
		Secondary teachers to be trained	Teachers	--	--	100000	150000	200000
		Training of CBSE teachers in Continuous and Comprehensive Evaluation methods	Teachers	--	--	20000	50000	50000
	Training of Resource Persons and teachers under Saakshar Bharat	Training of key resource persons / master trainers	In numbers	--	1000	6000	25000	--
		Training of Voluntary Teachers	In numbers	--	--	100000	500000	--
	Development of model syllabi for pre-service teacher education	Finalization of model syllabi	Date	--	--	30/06/2010	--	--
	Opening of Model Schools as benchmark of excellence	Approval for opening of Model schools	No. of Model schools	--	--	270	1500	1000

Contd.....

Section 3

Trend Values of the Success Indicators

Objective	Action	Success Indicator	Unit	Actual Value for FY 08/09	Actual Value for FY 09/10	Target Value for FY 10/11	Projected Value for FY 11/12	Projected Value for FY 12/13
4 iv) Formulating policy and carrying out institutional and systemic reforms.	Coverage of schools under ICT @ Schools Scheme	Approval for coverage of schools	No. of schools	26350	--	5000	15000	15000
	Development of prototype / exemplar teaching learning material for Saakshar Bharat	Approval of prototype of quality assured primers	No. of languages	--	9	7	7	--
	Learner assessment under Saakshar Bharat	Approval for new State Resources Centres (SRCs)	No. of SRCs	--	4	5	5	--
		First assessment of learners by September 8 2010	No. of Districts	--	--	50	167	--
		Second round of assessment of learners by March 31 2011	No. of Districts	--	--	50	365	--
	Policy 1. Aligning SSA norms with RTE	Formulation of EFC note	Date	--	--	30/04/2010	--	--
	2. Introducing a unified system of data in elementary education	Integrating DISE and SES systems	No. of States	--	--	5	6	6
	3. Restructuring Teacher Education Programme	Formulation of EFC note	Date	--	--	30/04/2010	--	--
	4. National Policy on ICT in School Education	Placing the draft of the policy in Public Domain	Date	--	--	31/10/2010	--	--
	Curricular Reform 1. Core curriculum of Science and Mathematics at Higher Secondary stage.	Finalizing the core curriculum	Date	--	--	15/02/2011	--	--
	2. Core curriculum of Commerce at Higher Secondary stage	Finalizing the core curriculum	Date	--	--	15/02/2011	--	--
	3. Curriculum framework for Adult Literacy	Placing the draft of the policy in Public Domain	Date	--	--	15/02/2011	--	--
	Programme Management 1. Approval of SSA AWP&B 2010-11	Completion of PAB meetings of all States/UTs	Date	23/05/2008	11/05/2009	15/06/2010	31/05/2010	31/05/2010

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Section 3

Trend Values of the Success Indicators

Objective	Action	Success Indicator	Unit	Actual Value for FY 08/09	Actual Value for FY 09/10	Target Value for FY 10/11	Projected Value for FY 11/12	Projected Value for FY 12/13
	2. Approval of MDM AWP&B 2010-11	Completion of PAB meetings of all States/UTs	Date	30/05/2008	11/05/2009	15/06/2010	07/06/2011	31/05/2012
	3. Streamlining use of fund earmarked for Management Monitoring and Evaluation (MME) under MDM	Finalisation of guidelines	Date	--	--	31/07/2010	--	--
	4. Development of web portal for MDM	Commissioning of web portal for use	Date	--	--	15/03/2011	--	--
	5. Development of grievance redressal mechanism for MDM	Issue of guidelines to States/UTs	Date	--	--	30/06/2010	--	--
	6. Scheme for Model Schools under PPP	Formulation of Scheme	Date	--	--	31/10/2010	--	--
	7. Establishing a banking and fund flow system for Saakshar Bharat	Opening of Subsidiary Bank Account	No. of Subsidiary Bank Accounts	--	--	25000	80000	--
	8. Introduction of Planning and Management Information System for Saakshar Bharat	Activation of MIS for Saakshar Bharat	Date	--	--	31/12/2010	--	--
	9. Introduction of Web Accounting and Decision Support System by CDAC	Activation of Web Accounting and Decision Support System by CDAC	Date	--	--	30/09/2010	--	--
	10. Management Information System for Scheme of Support to Voluntary Agencies for Adult Education and Skill Development	Development of MIS	Date	--	--	31/12/2010	--	--

* Mandatory Objective(s)

Section 4

Description and Definition of Success Indicators and Proposed Measurement Methodology

India is committed to the goal of universal elementary education for all children. This goal is part of the Education for All (EFA) goals adopted at the World Education Forum, Dakar in April 2000. The EFA goals include, *inter alia* achieving universal elementary education by the year 2015, ensuring equitable access to appropriate learning and life skill programmes for young people and adults, achieving a 50% improvement in adult literacy by 2015, achieving gender equality in education by 2015 and improving all aspects of quality of education. The Millennium Development Goals (MDG) also includes universal primary education and promotion of gender equality and empowerment of women.

India's progress on the EFA and MDG Goals has to be viewed in the context of its federal democratic structure enshrined in its Constitution. The structure, which is multi layered, provides space and mandate, for decision making and implementation of various policies and programmes, to various players –Governments, non-Governmental Organizations and civil society at large. While Government –Central, State and local bodies –plays the major role, abundant space has been created for the non-Governmental players, not only to directly participate in the process of educational development, but also to forge appropriate links with Government programmes and strategies. As a result, almost every educational programme of the Government, from pre-school to senior secondary, has involvement of community, especially at the ground level, which has also played an important role in various mobilization campaigns and ensuring delivery of service.

While policies and programmes in India for education precede the Dakar Declaration, they have received much greater attention and focus after India committed itself to the Declaration. This is reflected in much higher resource allocation, both by the Centre and the State Governments, including earmarking of funds for education (Education cess), pronouncement of new policies and strategies, greater involvement of civil society, stronger monitoring mechanisms and development of strong advocacy and awareness campaigns for achieving Education for All.

Universalisation of elementary education has been achieved to a very large extent, especially in terms of access to schooling and improvement in gross enrolment ratio, especially of girls and those belonging to the marginalized group. With the enactment of the Right of Children to Free and Compulsory Education Act, 2009, it is expected that issues of drop out, out-of-school children, quality of education and availability of trained teachers would be addressed in the short to medium term. Gender parity, especially at the elementary stage has improved appreciably. The Gender Parity Index, which was 0.80 in 2000-01 for primary increased to 0.94 by 2006-07. This has been result of a large number of programmes initiated specifically for education for girls and focus on gender issues in general education programmes such as the SSA. The Department is also poised to implement the Rashtriya Madhyamik Shiksha Abhiyan in the secondary education sector.

Programmes for lifelong learning for youth and adolescents have received their due focus. Adult education, especially of women, has received further impetus with the launch of *Saakshar Bharat*, a centrally sponsored scheme with a budget outlay of Rs 6000 crore for the period 2007-12. The objective of the programme is to impart functional literacy to 70 million adults in the age group of 15 –35 years by 2012; 60 million will be women, and special attention will be given to disadvantaged and marginalized social groups. This programme will show definite positive results not only towards quantitative improvements but also towards reduction in disparities across gender, social groups and regions.

S. No.	Success Indicator	Description/Definition
1.	Opening/sanction for new schools	One of the major objectives of this Department is to improve access to education. Towards this objective, yearly targets are set for opening new schools at the elementary and secondary stage in the various States/UTs of the country. Proposals in this regard are received by the respective State Governments as part of their Annual Work Plans which are approved by the Ministry after detailed consultation with the State Governments.
2.	Setting up of new Adult Education Centres and improvement/up-gradation of Adult Education Centres	Under Saakshar Bharat Mission, it is proposed to set up Adult education Centres (Lok Shiksha Kendras) at Gram Panchayat level for lifelong learning for adults. In such districts where Continuing Education Programme (CEP) was already running, the Continuing Education Centers will be upgraded as Lok Shiksha Kendras while in non-CEP districts now AECs will be set up.
3.	Construction of additional classrooms in elementary schools	Additional classrooms in existing schools are sanctioned on need basis arising essentially due to increase in enrolment in the school. Proposals are received from the respective State Governments as part of their Annual Work Plans which are approved by the Ministry after detailed consultation with the State Governments.
4.	Construction of kitchen-cumstores	Under the Centrally Sponsored Scheme for Mid Day Meal in Government and Government aided schools and AIE/EGS centres for elementary level, kitchen- cum-stores are constructed in schools/centres where storage of food grains and other material and cooking of food takes place. These are constructed on the basis of specific designs from the viewpoint of safety, hygiene and security.

S. No.	Success Indicator	Description/Definition
5.	Percentage of children with special needs covered in elementary schools and through home based education	SSA has adopted a zero rejection policy to ensure that every child with special needs, irrespective of the kind, category and degree of disability, is provided meaningful and quality education. This includes, among others, financial support to children with special needs, provision of aids and appliances, teacher training, home based education, residential bridge courses, barrier free access to schools.
6.	Provide inclusive education to disabled children with special needs	Under the 'Inclusive Education for the Disabled at Secondary Stage' (IEDSS) Scheme launched in September, 2008, (i) every child with disability will be identified at the secondary level and his educational need assessed; (ii) Every student in need of aids and appliances, assistive devices, will be provided the same; (iii) All architectural barriers in schools are removed so that students with disability have access to classrooms, laboratories, libraries and toilets in the school; (iv) Each student with disability will be supplied learning material as per his/ her requirement; (v) All general school teachers at the secondary level will be provided basic training to teach students with disabilities within a period of three to five years; (vi) Students with disabilities will have access to support services like the appointment of special educators, establishment of resource rooms in every block; and (vii) Model schools are set up in every state to develop good replicable practices in inclusive education.
7.	No. of out-of-school children covered through AIE centres under SSA	AIE centres cover never enrolled or dropout children, children who migrate seasonally with their families, street and other deprived urban children, working children and other vulnerable children in difficult circumstance. AIE provides support for bridge courses and back-to-school camps, long duration residential camps for older children, and short duration summer camps.

S. No.	Success Indicator	Description/Definition
8.	No. of Madarsas supported as EGS/AIE centres under SSA	Support is provided to unrecognized / unregistered Makhtabs/madarsas to adopt formal curriculum and a trained teacher is provided, wherever necessary, to teach formal curriculum in these institutions.
9.	Percentage of girls enrolled in KGBV against total KGBV capacity	The Kasturba Gandhi Balika Vidyalaya (KGBV) Scheme, provides for setting up of residential upper primary schools for girls from SC, ST, OBC and Muslim communities in the Educationally Backward Blocks of the country. The scheme targets areas of scattered habitation, where schools are at great distances and pose a challenge to the security of the girls.
10.	Approval of girls hostel at secondary level	Under the Girls' Hostel Scheme launched in October, 2008, one Girls' hostel with capacity of 100 would be set up in each of the 3,500 educationally backward blocks of the country, for the girls studying in classes IX to XII of recognized schools.
11.	Sanction of funds to the State Governments under the Mid Day Meal Scheme	Under the Mid Day Meal Scheme, Central assistance is provided to the State Governments/UTs for cooking cost, transportation of food grain, construction of kitchen cum-store, replacement of kitchen devices, and Monitoring, Management and Evaluation of the Scheme.
12.	Identification of beneficiaries under Saakshar Bharat and sanction of programme in low female literacy districts	Under the Saakshar Bharat Mission, 70 million adults have to be provided functional literacy by 2012, including 60 million women through an assortment of teaching learning programmes, including functional literacy programme, basic education programme, vocational education and continuing education programme
13.	Recruitment of teachers at elementary level	Under the SSA, central assistance is provided to the State Governments for appointing teachers for new schools, including science and maths teacher at upper primary level, and additional teachers in existing schools to improve pupil teacher ratio.

S. No.	Success Indicator	Description/Definition
14.	In-Service training of elementary school teachers	Under the SSA, central assistance is provided to the State Governments for providing in-service training for all the school teachers and induction training for the newly recruited teachers.
15.	Training of Principals of CBSE schools for CCE	The CBSE is imparting training to School Principals on the new Comprehensive and Continuous Evaluation (CCE) system for Classes IX and X, as part of the recent educational reforms.
16.	Training / Orientation of key resource persons / master trainers / literacy managers (PRIs)	Under the Saakshar Bharat Mission, training is to be imparted to key resource persons / master trainers / literacy managers who would act as master trainers to train the voluntary instructors to enable them to teach the neo-literates.
17.	Release of funds for teacher training institutions	Under the Centrally Sponsored Scheme on Teacher Education, Central assistance is provided to State Governments as resource support to District Institutes of Education and Training (DIETs), Colleges of Teacher Education (CTEs), Institutes for Advanced Studies in Education (IASEs) and SCERTs.
18.	Approval of no. of schools for creating ICT infrastructure	Under the ICT Scheme for Schools support is provided to the States/UTs for establishing an enabling environment to promote the usage of ICT in schools, especially in Higher Secondary and Secondary Government schools in rural areas.
19.	Development of quality assured primers under Adult Education programme	Under the Saakshar Bharat Mission, Teaching Learning Material (TLM) will be developed to be used by the voluntary instructors and neo-literates
20.	Setting up of new State Resource Centres (SRCs) and up-gradation of existing State Resource Centres	SRCs are established to provide academic and technical resource support to literacy and adult education programmes through various interventions. During the XI Plan, 14 new SRCs have to be established and 7 SRCs are to be upgraded.

Note : Measurement Methodology for the Success Indicators has not been discussed separately as they are self evident from Sections 2 and 3.

Acronym used

AE:	Adult Education
AWP&B:	Annual Work Plan and Budget
CBSE:	Central Board of Secondary Education
C-DAC:	Center for Development of Advanced Computer
CTSA:	Central Tibetan School Administration
DISE:	District Information System for Education
EFC:	Expenditure Finance Committee
FCI:	Food Corporation of India
ICT:	Information and Communication Technology
KGBV:	Kasturba Gandhi Balika Vidyalaya
KVS:	Kendriya Vidyalaya Sangathan
MDM:	Mid Day Meal
MIS:	Management Information System
MME:	Management Monitoring and Evaluation
NCTE:	National Council for Teacher Education
NCERT:	National Council of Education Research and Training
NIOS:	National Institute of Open Schooling
NVS:	Navodaya Vidyalaya Samiti
PAB:	Project Approval Board
PPP:	Public Private Partnership
PRI:	Panchayati Raj Institute
RMSA:	Rashtriya Madhyamik Shiksha Abhiyan
RTE:	Right to Education
SC:	Scheduled Caste
ST:	Scheduled Tribes
SRCs:	State Resource Centres
SRS:	Software Requirement System
SSA:	Sarva Shiksha Abhiyan
SES:	Selected Educational Statistics
UT:	Union Teritorry

Section 5

Specific Performance Requirements from other Departments

1. Most of the programmes/schemes of the Department of School Education & Literacy are implemented through State/UT Governments. Right from the formulation of the scheme, the Department has to rely heavily upon the State/UT Governments and the local bodies for planning and implementation. Release of funds by the Government of India is contingent upon the utilisation of the previous instalments and other necessary documents being received from the State/UT Governments in time. The exchange of information and fulfilment of various procedural requirements by the State Governments remain a big challenge.
2. Empowerment and capacity building of PRIs by Ministry of Panchayati Raj and State Governments is essential for improving services delivery of school education and literacy.
3. Supply of good quality food grains in time by the FCI has an important bearing on the implementation of the Mid Day Meal Scheme.
4. Convergence with the Total Sanitation Campaign and Drinking Water Programme of the Ministry of Rural Development is essential for providing sufficient drinking water and toilet facilities in elementary schools.
5. Broadband connectivity in Government and Government aided secondary and higher secondary schools is a critical factor affecting the success of the ICT programme.
6. Development of Web-Portals is solely dependent on NIC.

Science and Technology

Science and Technology: Follow up of
decisions taken at the First Annual
Chief Secretaries Conference

Ministry of Science and Technology
Government of India

S&T ENABLED GROWTH & DEVELOPMENT

(Follow up of Decisions First Annual Chief Secretaries' Conference)

Background

The quality of modern living in all walks of life and the state of development of a region, nation and society largely depends upon the underlying technology in usage. Although we have achieved high level of technological capabilities over last several decades in many frontline areas, it is felt that the optimum deployment of technology in developmental processes at the grass root level is still lagging behind. A careful selection of right technologies and their efficient deployment can vastly accelerate the pace of developmental processes and accrue substantial benefit to the common man by way of better quality of life and delivery of various governmental initiatives right up to the last mile.

Indian S&T establishments have evolved, over the last several decades, in terms of technical expertise, infrastructure and resources to deliver a wide spectrum of technologies in strategic as well as non-strategic areas. Agencies like DAE, DRDO and DOS have largely been responsible for achieving the level of self sufficiency in strategic areas. Many of their technologies, nevertheless, have potential for usage in commercial and developmental applications. Other agencies, like ICAR, ICMR and CSIR, have also acquired a high degree of core competence in their respective domain areas and delivered tangible outputs. Funding and development agencies like DST, DBT and MOES provide supporting role to complement other agencies as well as promote specific products, processes and technologies.

In a nutshell, Indian S&T establishments presently have a large basket of ready-to-use technologies which can be readily deployed for commercial and developmental applications. In absence of proper information and structured mechanisms, these technologies are not available to the States in their developmental processes. Realizing the underlying role of technology in developmental process, availability of such technologies with Central S&T Departments & Agencies and the need to connect the two ends through an appropriate structured mechanism, a Special Session on S&T was organized in First Annual Conference of Chief Secretaries held in February, 2010. Presentations were made by DG, CSIR and SA to RM highlighting the research outcome of chain of laboratories under CSIR and DRDO, respectively. A joint presentation on behalf of DARE, DAE, DBT, MOES, DOS and DST was made by Secretary, Department of Science & Technology. A Compendium of over 350 technologies from various S&T Departments & Agencies was prepared in a book form and circulated during the Conference. An Exhibition was also organized concurrently to display the technology output and resource capabilities of S&T Departments & Agencies.

The response from the participants to the S&T Session was inspiring. A mechanism for an effective and efficient Centre State partnership on technology related matters under the guidance of a Standing Committee of Secretaries to overview the entire process, was recommended.

Follow up Actions

Immediately after the conclusion of Chief Secretaries' Conference, follow up actions have been taken and some completed. A Standing Committee of Secretaries has been constituted under the Chairmanship of Cabinet Secretary. In addition to all the S&T Departments & Agencies, the Committee has representation from Planning Commission, DIPP, MSME, Ministry of Rural Development, MNRE and Ministry of Food Processing Industries. Specific follow up actions taken so far are presented underneath:

- A 'Concept Note' on 'Strengthening Center State Partnership in S&T Sector' has been prepared in consultation with all the S&T Departments & Agencies, proposing a two pronged approach. The first approach is to strengthen the existing structures and mechanisms like State S&T Councils and State Technology Development & Promotion Centers. The second approach is to establish new mechanism and entities for connecting intra-mural technology development agencies like CSIR, DRDO and ISRO. Any one or both the models are available for technology partnerships between Central S&T Departments / Agencies and States / UTs depending upon the needs of a specific case. The Concept Note has been later circulated to all the S&T Departments/Agencies and States/UTs as a reference document.
- A Compendium of Technologies had been prepared in a book form and circulated at the first Chief Secretaries' Conference. The material contained in the Compendium was later hosted on the DST website for access in soft copy version. In order to provide a more user friendly access and easy navigation, a dedicated website was also created to host the constituent technologies. This website had gone live in July, 2010 with the domain name www.techport.gov.in.
- Mapping of technologies is a dynamic exercise. In order to facilitate a regular and continuous updation of technology data base, creation of a Live Technology Portal, wherein the constituent resource agencies will keep on updating the data base with new technologies automatically, had been preferred. The Portal will also have other features in terms of providing a live and interactive interface for bilateral and multilateral dialogue amongst all the constituents.
- The work on Portal is being carried out for the last six months. The Portal was inaugurated by the Cabinet Secretary on 6th November, 2010 at Thiruvananthapuram. The Portal is being further refined to overcome residual technical glitches. The Portal is expected to be ready soon. All S&T Departments / Agencies and States / UTs will be connected to the Portal through a nodal person, with authorized login ID and user password. The Portal can eventually emerge as one of the most viable tools for building partnership between States / UTs and Central S&T Departments / Agencies on technology related matters.
- In order to create a facilitating mechanism, it was decided to proactively engage State Government Agencies in a direct dialogue. The first such initiative was made through an interactive meeting between Central S&T Departments and implementing agencies in the State of Kerala on 6th November, 2010 at Thiruvananthapuram. The character of the meeting was essentially user driven and State Government Agencies

were encouraged to present their requirement which could then be linked with appropriate technology and agency. The meeting has provided some valuable lessons. Three Secretaries and several senior officials from nine Central S&T agencies (DAE, DBT, DRDO, DOS, DST, MOES, CSIR, ICAR & ICMR) attended the meeting, which was presided over by the Cabinet Secretary and the Chief Secretary, Kerala. More than 50 senior officers from various sectors and agencies participated in the deliberations from the State's side. Representatives of the neighboring States viz. Tamil Nadu, Karnataka and Andhra Pradesh also attended the meeting as observers. Few specific areas for collaborative intervention were identified relating to important sectors like Water, Sanitation, Agriculture and Environment. Specific proposals are being developed for implementation at the ground level in the selected technology areas.

Next Step from Technology Compendium

- Technology Compendium provided a source of technology assets. This has led to important next step for establishment of best bet. Fertilizer subsidy burden of India is substantial. Potash is a major component. It is almost entirely imported and accounts for a significant subsidy support from the Government of India. Central Salt and Marine Chemical Research Institute (CSMCRI) of CSIR has developed a technology for the production of Sulphate of Potash (SOP) from Salt Bittern, wherein Ammonium Sulphate and high purity Magnesia are produced as byproducts. The process is covered by a family of international patents and is ready for commercialization. DST in association with the Ministry of Fertilizers has brought together CSMCRI and Tata Chemicals to sign an agreement and is supporting a test bed for 3TPA of SOP in Tata's premises. The proposed test bed will generate critical engineering data for further scaling up and demonstrate the techno-economic feasibility of the process for a full commercial plant. Once successful, the technology has the potential to result in significant savings for the nation, of the order of more than Rs. 10,000 crore per annum.

Future Plans

- The aforesaid model of engaging State Agencies into direct dialogue will be replicated in other States to map State specific technology requirements and deployment plans through collaborative approach. Such a direct intervention will be very useful since each region will have a unique set of problems, for which the corresponding technological solution should be very specific and ideally tailor made. S&T Agencies have inherent expertise and capabilities to quickly develop such new technology solutions. A direct dialogue across the table will overcome the communication barrier and develop more efficient functional partnerships.
- DST will support State Specific Technology Deployment Feasibility Plan and Training of Technology Managers for absorption and implementation of technologies. In addition to this, DST will take care of any gap areas around the interfacial boundaries to make the partnerships successful. DST will serve a coordinator role wherever needed.

- It is also planned to organize technology Fairs & Exhibitions in different parts of the country to cover all the States / UTs. These events will create awareness and generate enthusiasm to use technologies in developmental processes and fast-forward the socio-economic development.
- More opportunities will be identified, wherein partnerships can be built with the involvement of corporate sector. DST will facilitate such partnerships for the ultimate good of not only the collaborators but eventually the country at large.
- Enrollment of other academic institutions like Indian Institutes of Technology (IITs), National Institutes of Technology (NITs), by giving inputs to the Technology Compendium and Technology Portal, is planned.
- Establishment of a select number of Test Beds to establish the techno-social and techno-economic viabilities of technology assets in the possession of the Government of India is planned.
- The approach preferred is Convergent Solution to a real life problem rather than supply of a technology asset. This would require a vibrant relationship model between the entities of the State Government and the sources of technologies in the Government of India.
- The Science & Technology Sector of the Government of India plans to develop a Competitive Fund for technology deployment in States to support the diffusion of technologies during the 12th Plan period.

