



**GOVERNMENT OF KERALA**

# **ADMINISTRATIVE REFORMS COMMISSION**

## **SECOND REPORT**

# **CAPACITY DEVELOPMENT OF CIVIL SERVANTS KERALA**

**MARCH 2018**



## FOREWORD

The diamond jubilee celebrations of Kerala have been concluded and now we are marching forward to create a new history concerning the socio-economic development of Kerala. The formation of Kerala and the first Assembly elections that followed it were, no doubt, epoch-making incidents because by that course the then Communist Party came to office through ballots. It was an electrifying experience for the people of Kerala that was a milestone in the path of democratic advancement for the nation and even reckoned by the whole world as a distinct event in history.

And the first government headed by Shri.E.M.S. Namboodiripad in 1957 inaugurated the process of legislation and implementation of the Land Reforms Act and the Educational Act, it paved way for a new era in the history of India. All the People, irrespective of caste, creed and religion, were made land owners. And education, which was not accessible to the down-trodden so far, was made universal and democratic.

These reforms gave a new thrust and enthusiasm to the socio-cultural development of Kerala. All the social and economic activities in the society got energized. History proved that these reforms were the back-bone of the emergence of a new progressive society in the state; pioneering landmark achievements in legislation execution, execution of egalitarian governance and economic prosperity for the toiling masses.

During the following decades also, there were a number of reforms and Acts that helped Kerala make advancement in various spheres of social life. Cent percent literacy, welfare measures for the down-trodden and the marginalized, decentralization of power and public planning etc., opened new vistas in the socio-economic development of Kerala.

Now Kerala is at a cross-road. Things have changed a lot in almost all the spheres of social life. New problems and challenges have risen. There happened a paradigm shift in the family system. Joint family system, which was vogue in former days, gave way to micro-family system. This demanded more land for house-holds. Tremendous changes have taken place in the field of education. Information Technology has brought in sweeping changes in education. We have to cope with this. The health sector is facing serious challenges. Environmental degradation is highly pathetic. So, at this juncture, it is high time to analyze all these and do everything possible to reshape our society. Then only we will be able to carry forward the goals of our great predecessors.



This responsibility rests on the shoulders of the society. But these things are carried out by respective governments from time to time. The government, whatever be its nature, always formulates policies and programmes. These are put into practice by the government officials in various levels. If the spirit and content of governmental policies and programs are to be experienced and enjoyed by the people, they have to be carried out by the officials in the proper perspective. This has to be achieved within the time limit also. For this, adept and committed service from the government officials are inevitable.

But often there is a lacuna in this. This has to be bridged. For this, the government officials in various levels are to be equipped well. Their capacity has to be increased. For this they have to be given proper training from time to time. They have to be well aware of policy dealings and program implementation. They should be capable of knowing the dynamics of the beneficiaries as well as that of the society. This is not an easy thing. The officials can attain this goal provided they are in touch with the changing scenario. They have to be imparted a committed out-look also.

It is at this juncture that the capacity-building of the officials come to be of greater significance. How can this be effectively done is the vital point to be discussed. Now itself, there are nearly hundred training institutes functioning in the state. Almost all the departments have got their own training institutes and training programmes. There doesn't seem to be any co-ordination between these various institutes. Each institute works as a republic of their own. I am not sure whether a stock-taking is done periodically. As a result of this, institutes are there; training programs are also there. But, whatever is envisaged by these institutes and programs are not fully meted out. This has to be rectified.

It is with this objective that the present Administrative Reforms Commission has attempted to study in detail the measures to be taken for the capacity building of the officials. The Commission has conducted various workshops. Various stake- holders have participated in these workshops and have contributed a lot. The Commission was keen in discussing these matters with a lot of experts also. The Commission also took pain to visit a few of similar training institutes in various parts of the country. It is taking into consideration all the information and feed-backs from these, that the Commission has been able to prepare its second report. I hope that this report will be capable of showing a way-out to over- come the present limitations. And the implementation of the report would prove to be a remarkable step in making the official mechanism of the government a vibrant one.

Trivandrum  
24.3.2018

**V.S.Achuthanandan**

Chairman, ARC



GOVERNMENT OF KERALA

**Abstract**

Personnel and Administrative Reforms Department – Administrative Reforms Commission – constituted – Orders issued.

**PERSONNEL & ADMINISTRATIVE REFORMS (AR-12) DEPARTMENT**

G.O.(Ms) No.16/2016/P&ARD. Dated, Thiruvananthapuram, 06/08/2016.

**ORDER**

Government hereby order constitution of Administrative Reforms Commission with a view to improve the efficiency of the State Administrative System. The composition of the Administrative Reforms Commission is as follows:

Shri. V.S. Achuthanandan, MLA,  
Ex.Chief Minister,  
Velikkakath,  
Punnapra North P.O,  
Alappuzha.

Chairman

Shri. C.P. Nair,  
Cheif Secretary (Retd.)  
'Seasons', PPD,  
Kuravankonam,P.O,  
Thiruvananthapuram.

Member

Smt. Neela Gangadharan,  
Chief Secretary (Retd.),  
No. 528/Type VI, CPW Quarters,  
27th Main Road, HSR Lay out,  
Bengaluru-560 102.

Member

Principal Secretary,  
Personal and Administrative Reforms  
Department.

Member Secretary



The Chairman of the Administrative Reforms Commission will have the rank and status of Cabinet Minister and the members will have the rank and status of Chief Secretary to Government.

The Terms of Reference of the Commission will be issued separately.

(By Order of the Governor)

**S.M. VIJAYANAND,**  
Chief Secretary.

To

Shri.V.S.Achuthanandan, MLA, Chairman, Administrative Reforms Commission.( Velikkakath, Punnapra North.P.O, Alappuzha).  
Shri. C.P. Nair,Chief Secretary(Retd.),[“Seasons”,PPD, Kuruvankonam.P.O.,Thiruvananthapuram].  
Smt. Neela Gangadharan, Chief Secretary (Retd.)[No.528/Type VI,CP W Quarters, 27th Main Road,HSR Lay out, Bengaluru-560 102].  
The Principal Accountant General (Audit), Kerala, Thiruvananthapuram  
The Accountant General (A&E), Kerala,Thiruvananthapuram.  
The Director, Information & Public Relations Department.  
The General Administration (SC) Department [ Vide Item No. OA-16], Dated, 03.08.2016]  
The District Treasury Officer, Thiruvananthapuram.  
The Sub Treasury Officer, Secretariat sub Treasury, Thiruvananthapuram.

Copy to:

Information and Public Relations (Web &Media) Department for uploading in the official web site of Government of kerala.  
Additional Secretary to Chief Secretary.  
PA to Principal Secretary, P &ARD.  
Stock File /Office Copy.

Forwarded/By Order,  
(Sd/-)  
Section Officer.



**GOVERNMENT OF KERALA**  
**Abstract**

IAS – Posting Smt. Sheela Thomas IAS (Rtd) as Member Secretary, Administrative Reforms Commission on re-employment basis – Orders issued.

**GENERAL ADMINISTRATION (SPECIAL A) DEPARTMENT**

**G.O.(Rt) No.2528/2017/GAD. Dated, Thiruvananthapuram, 22/04/2017.**

**ORDER**

Smt. Sheela Thomas IAS (Rtd) is appointed as Member Secretary, Administrative Reforms Commission on re-employment basis.

2. The above appointment will be subject to the usual terms and conditions of re-employment.

(By Order of the Governor)

**NALINI NETTO**  
Chief Secretary to Government

To

Smt. Sheela Thomas IAS (Rtd)  
The Principal Accountant General(A&E)/(Audit),Kerala, Thiruvananthapuram  
The Secretary, Ministry of Personnel, Public Grievances & Pensions, Department of  
Personnel & Training, Government of India, New Delhi.  
The Member Secretary,Administrative Reforms Commission, Thiruvananthapuram  
The Personnel And Administrative Reforms Department  
The General Administration (SC) Department  
The Information and Public Relations Department  
The Web and New Media.

Copy to: The Secretary to Chief Minister.  
The Private Secretary to Chief Minister  
The Additional Secretary to Chief Secretary-  
PA to the Additional Secretary General Administration (Special A&C) Departments.  
Stock File/Office copy.

Forwarded/By Order,  
(Sd/-)  
Section Officer.





## ADMINISTRATIVE REFORMS COMMISSION

### TERMS OF REFERENCE

#### GO(MS) No. 21/2016/P&ARD Date 30/08/2016

- I) To view the structure and functioning of the administrative machinery of the State and suggest measures for improving its responsiveness, efficiency and effectiveness as is required in a welfare State.
- ii) To revisit and redefine the roles of department and important agencies in Government.
- iii) To suggest measures for co-ordinated and joined-up functioning of Government departments and agencies to enhance positive outcomes.
- iv) To suggest measures to eliminate delays, corruption, favouritism and nepotism and to make administration result-oriented
- v) To suggest steps for enhancing delegation of powers to increase efficiency and citizen satisfaction.
- vi) To suggest modern management methods and Information Technology system and tools. which can be adapted in Government.
- vii) To review the policies relating to recruitment, placement and promotion and suggest measures for improvement of the performance of civil servants.
- viii) To suggest methods for democratization of different organs of Government at various levels and increase participation of the people in governance.
- ix) To asses the delivery of key pubilc services and suggest measures for increasing their efficiency.
- x) To suggest measures to make Government more open and accountable
- xi) To suggest measures to refine/operationalize Gender Budgeting, Child Budgeting.
- xii) To recommend modern fiscal planning tools like output and outcome-based budgeting.
- xiii) To assess the capacity building system in Goverment and suggest measure to make it more effective.
- xiv) To make any other recommendation arising from the above matters or incidental to them or considered necessary or appropriate by the Commision.



## ADMINISTRATIVE REFORMS COMMISSION

Shri. **V.S. ACHUTHANANDAN**

Chairman

Shri. **C.P. Nair**

Member

Smt. **Neela Gangadharan**

Member

Smt. **Sheela Thomas**

Member Secretary

### Expert Committee Members

Dr. Alexander Jacob, IPS (Rtd)

Kum. Gayatri Nair, IES, State Planning Board

Adv. A Rajasekharan Nair, Additional Secretary (Rtd)

Shri. A Mohananatha Babu, Additional Secretary (Rtd)

Shri. K.Vijayakumaran, Additional Secretary (Rtd)

Dr. R Ram Mohan, Professor, IMG

### Officials of ARC

Shri. T P Babu, Additional Secretary

Shri. Kumar C Pillai, Finance Officer

Shri. Subin Kairal S, Under Secretary

Smt. Titty Annie George, Deputy Collector

Shri. C J Suresh Kumar, Under Secretary

Shri. Rajeev Mathew, Section Officer

Shri. Vivil Kumar, Assistant Section Officer

Shri. Pradeep VR, Assistant Section Officer

Shri. Satheesh R, Senior Assistant

Shri. Rajan Varghese, Personal Assistant

Smt. Lissa TJ, Confidential Assistant

Shri. Harees Ahamed A, Confidential Assistant

Smt. Bindu L, Research Associate, CMD.

*Acknowledgement*

Administrative Reforms Commission sincerely acknowledge the contribution of [Shri. S. M. Vijayanand IAS \(Rtd\)](#) and [Shri. Rajan N Khobragade, IAS](#) in the preparation of this report.

## INDEX

SL No.	Contents	Page No.
1.	Chapter I - Introduction	1 - 6
2.	Chapter II - Present Scenario	7-13
3.	Chapter III - Competency Framework	15-20
4.	Chapter IV - Performance Management	21-23
5.	Chapter V - Ethics & Civil Service Code	25-30
6.	Chapter VI - Centre for Good Governance- Kerala	31-34
7.	Chapter VII - Capacity Development Framework	35-42
8.	Chapter VIII - Kerala Administrative Service	43-47
9.	Chapter IX - Recommendations	49-52
10.	Annexure I- Training Institutions in Government Sector in Kerala.	53-57
11.	Annexure II-Kerala Civil Servants (Performance Appraisal Report ) Rules 2018-Draft	58-71
12.	Annexure III- Centre for Good Governance- Kerala society Bye-laws 2018-Draft	72-83
13.	Appendix I- Abstract of Government Staff Coming Under Various Departments.	84-86
14.	Appendix II-Visits at Some Prominent Training Institutions in Kerala and Other States.	87-95
15.	Appendix III- State Training Policy 2017	96-102





*'If I have the belief that I can do it,  
I shall surely acquire the capacity to do it even if  
I may not have it at the beginning'*

-Mahatma Gandhi

## INTRODUCTION

- 1.1.1 Kerala caught attention of the world through its endeavours in the field of social justice, economic equality, citizen centered services and higher human development index at relatively lower per capita income. These laudable achievements have started showing signs of deceleration in the context of current and emerging socio - economic challenges and various factors, including major governance issues, inhibiting effective response to these challenges. Since the formation of the State of Kerala in 1956, Government had set up three Administrative Reform Committees, at various intervals, to suggest reform measures for maintaining robustness of public service and accelerate State's development. 1st Administrative Reforms Committee was constituted in 1957 under the chairmanship of late Shri. EMS Namboodiripad, then Chief Minister, 2nd in 1965 under late Shri. MK Vellodi ICS and the 3rd Committee in 1997 under the chairmanship of then Chief Minister late Shri. EK Nayanar.



1.1.2 Administration is a dynamic process and has to evolve and respond to changes. Though successive Governments have been addressing issues raised by the Administrative Reforms Committees, in view of the ever changing demands on governance and the constant endeavour of taking governance closer to people, the 4th Administrative Reforms Commission (ARC) has been set up by government in 2016 with former Chief Minister Shri. V. S. Achuthanandan, MLA as its Chairman. The 4th ARC is mandated to review the structure and functioning of the administrative machinery of the state and suggest measures for improving its responsiveness, efficiency and effectiveness as is required in a welfare state, assess the capacity building system in government and suggest measures to make it more effective.

1.1.3 Based on the Terms of Reference, Commission has grouped governance issues into seven themes.

1. Citizen First Services
2. Environment & Sustainable Development
3. Reaching the Unreached
4. Planning & Finance
5. Result Oriented & Effective Governance
6. Infrastructure-Optimum Usage & Conservation
7. Towards More Accountable Bureaucracy.

The Report on 'Capacity Development of Civil Servants in Kerala' is a sub theme under the main theme 'Towards More Accountable Bureaucracy'.

1.1.4 The 3rd ARC has observed "Over the years, there is perceived decline in the quality of public service leading to cynicism and distrust among the common public. This distancing of people does not augur well for governance. Arguments against the state are getting an attentive ear from the common man, because of widespread inefficiency, waste, rent seeking, aggrandizement and arrogance of power. In this context, to restore faith of the common man in the state, drastic reforms are required. The citizens have to be convinced that public servants are capable of providing the best value in public service".

1.1.5 Governance is a concept as old as human civilization and involves the process of decision making and implementation of decisions taken. Several actors, formal and informal, are involved in this process. Definitions of 'Governance' vary according to the situation in which the term is used. In the Report of the Commission on Global Governance it is defined as 'the sum of the many ways individuals and institutions, public or private, manage their common affairs. It is a continuing process through which conflicting or



diverse interests may be accommodated and cooperative action may be taken. It includes formal institutions and regimes empowered to enforce compliance, as well as informal arrangements that people and institutions either have agreed to or perceive to be in their interest’.

- 1.1.6 According to United Nations Economic and Social Commission for Asia and Pacific, good governance has eight characteristics. It is participatory, consensus oriented, accountable, transparent, responsive, effective and efficient, equitable, inclusive and follows the rule of law. It assures that corruption is minimised, the views of minorities are taken in to account and that voices of the most vulnerable in society are heard in decision making. It is also responsive to the present and future needs of society. Good governance not only gives the community confidence in government but improves faith in elected members and officers in government and its decision making process. It also leads to better decisions, helps government meet its legislative responsibilities and provides an ethical basis for governance. Officers will feel more confident in providing frank and fearless advice which is acknowledged and respected by elected members. On the whole, good governance creates an environment where elected members and officers ask themselves ‘what is right thing to do’ when making decisions.

## **1.2 Role of Civil Service in a Democracy**

- 1.2.1 Democracy may be defined as a form of governance in which the supreme power is vested with the people. In a democratic system of government, the power to govern is entrusted with elected representatives of the people. Function of the civil service is to advice the political executive on rules/procedures/ programmes/projects etc and assist in its execution/implementation. Effective policy formulation at higher levels of administration and its implementation at all levels are prerequisites for efficient public service/service delivery. Capacity development of public servants is integral to this process. Training of civil servants is recognised as an important instrument of administrative change. Process of development administration assumes that enhancing the capability and capacity of government functionaries is a prerequisite for any attempt at modernisation.
- 1.2.2 Civil Servants are not only to be skilled but have to serve people with social commitment, empathy and fairness. The Service Delivery Policy of Government of Kerala announced vide G.O (P) No. 260/2004/GAD dated 20.09.2004 and the Principles of Service Delivery thereon are worth mentioning. They are:



a) People Centeredness b) Laying down clear standards c) Equity d) Transparency e) Accountability f) Integrity g) Fairness h) Good Behavior i) Rationality j) Efficiency k) Convergence l) Right to Service m) Grievance Redress n) Continuous Improvement o) Changing Attitudes and Improving Skills p) Sustainability q) Inclusion r) Holistic Approach.

- 1.2.3 Most of these principles are centered on right attitude, social commitment and willingness to work of the civil servant who is at the cutting edge of service delivery. It also stresses on the importance of capacity development of civil servants.

### 1.3 Capacity Development

1.3.1 Capacity Development is the process by which capabilities of the personnel can be improved to meet organisational needs in terms of knowledge, skills and attitudes required in performing organisational tasks and functions, within specified period of time. Capacity development promotes competence in public service through improvement of professional knowledge, broadening vision and adoption of right behavior among employees with regard to existing functional responsibilities. Professionally structured capacity development of human resources is required to ensure quality and efficiency of services rendered by Government. Periodical evaluation of governance and identifying gaps or inefficiencies / efficiencies, is an exercise required for stimulating positive thinking in Government officials and other stake holders. Administrative reform is to be taken as an important instrument to ensure the exercise of 'looking within' and sharing of best practices as well as difficulties and issues at all levels.

- 1.3.2 The term capacity development and training are used as synonyms in this report.

### 1.4 Importance of Capacity Development

1. Helps in increasing productivity: Through the instrument of training increase in skill is possible resulting in improved quantity and quality of output.
2. Raise the Morale: Training helps to build integrity and improve morale of the government employees by inculcating right attitudes of personal and public conduct.
3. Broadens knowledge of Employees: It is through training that an individual working in a public organization gets opportunity to broaden her/his knowledge.

4. Need of supervision be reduced: Trained functionaries do not require constant supervision and vigil.
5. Improve ability to take decisions: Training can revitalise the decision making machinery. Thus, it becomes all the more important for employees in government organisations to learn by training and not only through experience.
6. Impart occupational skill and knowledge: Training helps the functionaries by inculcating occupational skill and knowledge. It is through training that the civil servant becomes familiar with the objectives/functions of the department in which she/he is working.
7. Orientation towards people: A sound training program aims at people orientation. In fact, one of the objectives of training is or should be inculcation of respect and regard for the public. Civil Servants should be emotionally integrated with the community.
8. Fosters homogeneity of outlook: Training fosters homogeneity of outlook and esprit –de-corps in the employee. It is also conducive to cohesion in method of work and approach to various issues.
9. Enhances administrative capability: Administrative capability is important for converting or processing program inputs into outputs such as goods and services. Training enhances the administrative capability of public services.
10. Ecological understanding: All functionaries of government organisations must understand the legal frame work under which they operate and must possess basic knowledge of social sciences to understand intricacies of the social environment

### 1.5 Objectives of Training

- a) Training should endeavour to produce a civil servant whose decisions in the transaction of government business are objective and people friendly.
- b) Civil servant must be attuned to the tasks they are called upon to perform a constantly changing world. They have to constantly adjust their outlook and methods to suit the changing needs and times.
- c) The civil servant should not deliver service mechanically. A new entrant, from the beginning, should be made aware of the relation of her/his work to the service rendered by the department and the government to the society. This capacity to



review importance of the work entrusted to the civil servant in the wider setting will make the work more valuable to the person and the society.

- d) Training must not only be for enabling civil servants to perform the current work more efficiently but also equip them for higher duties/responsibilities.
- e) It is of utmost importance that every employee should realise that they are to serve the people and not be their masters. They have to work with highest levels of ethics and morality.
- f) One of the cardinal principles of human resource planning and career development is that the organisation should classify various categories of jobs and assess governance or developmental needs to provide required training, in relation to the job that have to be performed, knowledge and skills required for performing the job and gaps in knowledge and skills of the person responsible for the job.
- g) An employee must understand the legal framework under which she/he is to operate. She/he must be provided with basic knowledge of social sciences to understand the intricacies of the social environment. The role of a public servant in a welfare state is that of a social scientist in action.
- h) Enhance administrative capability of public services so that they can achieve the objectives of the government quickly and efficiently.

## **1.6 Objectives of the report and methodology**

- 1.6.1 The state has a civil service that is competent and qualified to provide quality service to the public. However, several unethical practices have crept in to civil service over the years impeding effective service delivery . The environment in which Government functionaries work and the expectations from stakeholders have also undergone changes and pose challenges. The National Training Policy 2012 outlines the challenges faced by civil service thus: .... rapid economic growth, devolution of funds, functions and functionaries to Panchayats and Municipalities, enhanced transparency through Right to Information, globalisation, climate change and extremism have created a complex and challenging environment in which civil service has to function at a time when there are increasing expectations of its performance and ability to respond more efficiently and effectively to the needs of the citizens.
- 1.6.2 The National Policy goes on to say “For transforming the civil service it is imperative to move to a strategic human resource management system , which would look at the individual as a vital source to be valued, motivated ,developed and enabled to achieve the Ministry/Department/Organisation’s mission and objectives.”

## 1.7 Some identified unacceptable behaviours common to civil servants

:

1. Perpetual discontent about wages and income
2. Adoption of any means for acquisition of wealth and position.
3. Apathy in delivering quality service.
4. Inflated self-esteem.
5. Own privileges are given priority over duty to the public.
6. Unhealthy and jealous attitude towards colleagues who are better in work and service delivery.
7. Reluctance to delegate.
8. Tendency to centralise authority.
9. Tendency to subjugate those who function objectively.
10. Lack of humility in inter-personal relationship.
11. Tendency for malicious gossip.
12. Tendency to deny opportunity to the deserving.
13. Service as favour and expects gratitude.
14. Pleasure in denying/ delaying service.
15. Non-observing of time limits in service delivery.
16. Nexus with intermediaries/lobbyists.
17. Lack of pride in own position and absence of self-respect.
18. Poor in maintaining good inter-personal relationship and friendliness.
19. Lack of skill in performing duties.
20. Negligent attitude towards disciplinary proceedings.
21. Over confidence in political patronage.

- 1.7.1 From the above list we can see that most of the traits are related to attitude or behavior of the individual towards society. This brings us to the importance of training on ethics and behavior along with skill/knowledge development. Emphasis of training should be on 'doing' rather than only 'knowing'. Training must also achieve a synthesis between improvement of the individual's competencies including citizen first attitude and



promotion of organizational objectives. Training should, in addition help build integrity, character and probity in professional life.

**1.8** The 3rd Administrative Reform Committee has made certain important recommendations on Capacity Development.

They are:

1. A training policy has to be announced by the Government.
2. Conduct an in-depth training need assessment for professionals as well as general categories.
3. The curriculum for different target groups needs to be drawn up in detail.
4. A State training network has to be formed with IMG as the nodal institution.
5. At least 2% of the Plan budget should be earmarked for Human Resource Development.
6. For every category of staff, induction training is required.

**1.9** ARC in this report have attempted to study how best the state training policy has been implemented and the status of training in the light of new developments and challenges faced by the civil service ,issues and gaps in the system and have made the recommendations. The Commission visited some major institutions in the state, interacted with stake holders in a workshop, consulted departments, and studied best practices in other states and in National Institutions.

## PRESENT SCENARIO

- 2.1.1 Kerala established Administrative Training Institute and Department Specific Training Institutes in tune with the National Training Policy. At present Kerala have over 100 departments, several Public Sector Undertakings (PSUs), Government agencies and nearly 100 training institutions. Almost all major departments in Kerala have their own training facilities. Personnel & Administrative Reforms Department in Government administers implementation of State Training Policy.
- 2.1.2 The State is committed to periodically update/improve /overhaul its systems and institutions to enhance efficiency and effectiveness of service delivery. Organisations are built by human resource. Whether it is government or private sector, the human interface is nonnegotiable. Therefore, government gives major focus on human resource development through structured capacity building programmes. There is no programme without capacity building as a cross cutting theme. However, deficiency in capacity building inputs, be it modern techniques, management principles or core subject related inputs, leads to poor governance. With democracy showing signs of maturity government and public services are no longer considered as solemn and supreme levels in society. Civil service has to keep pace with the changes emanating from people driven demand for a more responsive, efficient, transparent, accountable and inclusive governance framework equipped with requisite knowledge, skills and attitudes to perform and respond efficiently and effectively to meet these demands. Devolution of powers to local bodies has increased the responsibility of capacity development at grass roots level with limitations of availability of sufficient manpower and expectations for expeditious delivery of services. Using the digital platform for training and capacity development is assuming importance to keep pace with the aspirations of the citizenry.



- 2.1.3 Hence well organized training packages with innovative/ strategic approaches are imperative to ensure better performance of government employees and facilitate excellence in governance and service delivery. Collective effort is required for reforms and process re-engineering. Well trained workforce is to be considered as an investment in public service. Hence the state should develop a methodological and conceptual framework for capacity building.
- 2.1.4 Attempts of Kerala, so far, in this direction are based on the recommendations of the 3rd Administrative Reforms Committee and Schematic Outlines of 'Modernising Government Programme' of 2003. Service Delivery Policy announced by Government of Kerala in 2004 laid down certain principles of service delivery such as transparency, accountability, integrity, good behavior, efficiency etc, which are to be imbibed by the civil service. Considering recommendations of 3rd Administrative Reforms Committee on Capacity Building, Government of Kerala announced its first State Training Policy in 2004 as a road map for streamlining capacity development of civil servants.
- 2.1.5 Aligning with the changing scenario in governance towards citizen centric approach, Government of India revised the National Training Policy of 1996 in January 2012 with a recommendation that each State formulate or revise existing State Training Policies. Accordingly, Government of Kerala announced a new State Training Policy in 2017. Objectives of training as per State Training Policy 2017 are:
- Match individual competencies with the jobs they have to do and bridge competency gaps for current and future roles with the aim to improve performance of individuals and organisations.
  - Expose the civil service to new trends in the socio economic and political environment in which it operates.
  - Update on reforms and initiatives in governance.
  - Impart skills and attitudes for reengineering of government processes and e-governance.
  - Build attitudes conducive to institutionalising citizen-centric, corrupt free and participatory governance.
- 2.1.6 Training programmes would ensure that civil servants acquire the requisite knowledge, skills and attitude to effectively perform the functions that are required for performing the job, bridging the gap between the expected and actual competency and resulting in improving the performance of civil servants and their organisation leading to improved service delivery.



2.1.7 Some basic tenets of capacity building flowing from the national and state policies are as follows:

**(i) Competency Frame Work**

Competency Frame Work assists in identifying competencies relevant to the functions/responsibilities of Civil Servants and enables them to rise to the challenges that all public institutions are likely to face.

Civil Servants have to achieve competency to perform the job they are entrusted with. Each component of the job has to be defined and the employees should acquire competency to perform the job as defined. The level of competency of an employee is to be defined at the desired level. For this a structured competency framework needs to be prepared. Performance of an employee cannot be assessed objectively in the absence of competency framework. In the absence of clear job description, competency and performance indicators, evaluation of work done cannot be measured objectively. Career progression and placement need to be based on matching individual competencies to those required for a post.

**(ii) Performance Appraisal and Training**

Performance Appraisal is a regular and continuous evaluation of quality, quantity and effectiveness of performance and other factors that influence an employee's performance and behavior. It is also an appraisal of the growth potential of an employee leading to positive action and enabling feedback to the individual aimed at improvement of her/his performance. Performance Appraisal is closely linked to training need analysis. Performance appraisal should result in assessment of a) Growth potential of an individual b) Corresponding training needs C) Performance and capabilities of individual for their placement and promotion d) Conduct, discipline etc. In short, Performance Appraisal is a means and not an end by itself.

**(iii) Ethics in Administration**

Administrators and bureaucrats cannot avoid making decisions, and in doing so they should make ethical decisions. Despite continuing efforts to make administration objective, administrators have discretionary powers that go beyond manuals, orders, job description and legal frame work of their position and hence professional ethics act as guidelines. Exercise of discretion by public servants affect people's lives in a direct, lasting, and sometimes profound manner. Administrators thus need clear understanding of ethical theories and traditions and methods for emphasising ethical dimensions of their conduct. Core values in ethical framework include rule of law, impartiality, objectivity, transparency, accountability, professionalism, reliability and courtesy. Main attributes of ethical conducts are:



- Compassion; concern for the well being of others.
- Avoidance of malfeasance infliction of hardship on others.
- Beneficence; meeting the needs of the most vulnerable; promoting others happiness.
- Fairness; treating people the way they deserve to be treated; as having equal rights unless merit or need justifies special treatments.
- Courage in opposing injustice.
- Respect for the Constitution and other laws.
- Honesty; not deceiving anyone who deserves to know the truth.
- Not making promises with no intention to keep.
- Integrity; upholding obligation in spite of personal inconveniences.
- Political neutrality

## **2.2 Training Institutions**

- 2.2.1 Need for institutional training has not received adequate importance as the broad approach has been that the right type of training would be possible on the job through experience of the work situation, contact with experienced employees and guidance by immediate supervisors. It is true that training imparted through an institution cannot supplant the need for on the job training. As a matter of fact, both go together and are mutually reinforcing. Institutional training aims at making on the job training more effective and purposeful. Institution-building for training in administration includes a charter of the training institution, identification of training needs, selection and development of trainers and trainees, preparation of training materials, selection of training techniques, library facility etc. However, Institution building for training in administration is not complete unless it is matched by a well-conceived personnel policy of placement and career development.
- 2.2.2 There are different views on whether separate training institutes are to be set up or to associate with existing university departments. However, the trend in our country and elsewhere is to establish separate institutions. This by no means implies that universities have a limited role to play in public administration. University can and should offer assistance in the shape of research personnel, research guidance, evaluation, and faculty support. There is need for continuing liaison and mutual support.
- 2.2.3 In the report the current scenario will be analysed on each of the above tenets, issues identified and recommendations made.

## 2.3 Training infrastructure in Kerala

2.3.1 List of training and Educational Research Institutions are at Annexure 1. These are collected from concerned departments. The study team from ARC visited IMG and Kerala Institute of Local Administration (KILA) two key apex Institutions. Apart from this, the team also visited the following training institutions / research institutions in Kerala.

- Kerala Fire Force Academy - Viyyur , Thrissur.
- Kerala Engineering Research Institute (KERI) - Peechi, Thrissur.
- Kerala Forest research Institute (KFRI) - Peechi, Thrissur.
- State Institute of Rural Development- Kottarakkara, Kollam. (SIRD- renamed KILA Centre for Human Resources Development),
- Extension Training Centre - Kottarakkara, Kollam (ETC- renamed KILA Centre for Socio Economic Development ),
- Forest Training School - Arippa, Kollam.
- Institute for Land & Disaster management (ILDM) - PTP Nagar, Thiruvananthapuram..
- Forest Institute of Human Resource Development ( Forest IHRD) - PTP Nagar, Thiruvananthapuram.
- IIITM-K,Thiruvananthapuram,
- Pre.Examination Training Centre - Mannanthala,Thiruvananthapuram.
- Kerala Institute of Labour & Employment (KILE)- Vikas Bhavan,Thiruvananthapuram.
- State Council for Educational Research & Training (SCERT)- Poojappura, Thiruvananthapuram.
- Institute of Cooperative Management(ICM)- Poojappura, Thiruvananthapuram.
- Institute of Human Resource Development (IHRD)- Vazhuthacad, Thiruvananthapuram.

2.3.2 On the basis of these visits and on the basis of interactions with experts in the field of training and deliberations in the workshop on 'Capacity Development of Civil Servants' held on 15th November 2017, ARC has identified certain issues pertaining to Training Institutions and operationalisation of Training Policy:



- Identification of training needs for various departments is not given required focus and attention.
- Failure in operationalisation of State Training Policy
- Role of IMG as an apex State Training Institute in coordinating with various other departmental training institutions is marginal.
- Training is not mandatory for career development, including promotions.
- Complex procedures for approval of training programmes.
- No proven technique or methodology for impact assessment of trainings.
- Inadequacy of smart and virtual classrooms.
- Imparting training through online facilities has not been explored.
- Sufficient thrust for ethics and morals not given in the present training programs.
- Due importance is not taken in the selection process of visiting/ floating /guest faculty.
- Lack of optimum utilization of infrastructure and training facilities available with various training institutions.
- Absence of minimum fixed standards for infrastructure, staffing, faculty, etc for training institutions.
- Lack of effective and proper utilization of funds available for training.
- Absence of uniform standard in fixing honorarium for guest faculty.
- Envisaged autonomy is not visible in the functioning of IMG and KILA.
- No conscious efforts on the part of training institutions for financial self reliance.
- Lack of clarity on functioning of State Training Council.
- Absence of an entity/ training division in government like DoPT to implement, coordinate, monitor and handhold State Training Policy.
- Most training institutions impart only theoretical training.
- Absence of an institution like 'Centre for Good Governance (CGG) Telangana' that extends support, in its role as a think tank, to the state government and work with government departments to implement governance reforms.
- Deficiencies in training curriculum and gaps in implementation of state training

plan. There is critical need for preparing training curriculum and professional modules based on Competency Framework.

- Absence of database of the employees who are trained. This leads to repeat training to some and no training to others.
- Possibility of associating academic and educational institutions like University departments, IHRD, CDS, GIFT and DIETs with training programmes is not explored fully.

2.3.3 The study team also visited the following premier institutions outside Kerala. A brief account of these institutions is at **Appendix II**.

- Administrative Staff College of India (ASCI) -Hyderabad
- Centre for Good Governance (CGG)- Hyderabad
- National Institute of Rural Development & Panchayat Raj (NIRD&PR)- Hyderabad
- Centre for Innovation in Public System (CIPS) -Hyderabad.
- Asia Plateau- International Centre for Initiatives of Change (IofC)- Panchgani, Maharashtra.
- Yashwantrao Chavan Academy of Development Administration (YASHADA), Pune.

2.3.4 In all the above interactions, ARC came across several suggestions for improvement , strengthening and reform . Some of them are :

- Induction training to be mandatory and be considered as in-service training.
- Successful completion of induction training mandatory for declaration of probation and promotion.
- Inculcating ethics and values in the administration of governance through capacity development of civil servants.
- Mapping of competencies to be done for all posts.
- Networking of all the training institutions and sharing of faculty, experience and infrastructure facilities.
- Selection of qualified faculty in training institutions.
- Logical and functional classification of training institutions.
- Evolving an effective evaluation and impact assessment mechanism for training and trainees.



- Mandatory training to be imparted to civil servants in phases.
- Scientific development of training curriculum for all trainings by competent organizations.
- Specify role of State Training Council and responsibilities of IMG and KILA in the roll out of State Training Policy 2017.
- Establishing a Centre of Excellence for capacity development of civil servants.
- Assess need of a 'Centre for Good Governance'.
- Linking of Performance Appraisal and Training Need Analysis based on Competency Frame work.
- Classifying trainings as in-house, non-residential and residential and criteria for such classifications.
- Developing a database and e.portal on training of the civil service Officials in the State.
- Utilising capacities and faculty of university departments and other educational institutions for capacity development programs.
- Explore possibility of developing a distance learning course or online course on Public Administration or Development Administration for civil servants in the state through IMG or any appropriate institution.
- Drawing up of perspective plan for Human Resource (HR) development program for all civil servants through induction training, mid-career training, refresher courses etc.
- Developing a training module for the newly created Kerala Administrative Service.

2.3.5 In the following chapters ARC will be analyzing the above and suggesting/recommending adoption and effective use of few concepts and practices in Capacity Development to address these issues.

## COMPETENCY FRAMEWORK

*‘Knowing is not enough; we must apply.  
Willing is not enough; we must do’  
-Goethe*

- 3.1.1 Competencies are attitudes and behavior that shape the functioning of an employee and is critical in application of knowledge and skills. Competency framework can be a valuable management tool for raising employee performance, serve as a guideline for recruitment and promotion of employees and for succession planning. It is a valuable tool for assessing capability gap, identification of competencies relevant for the functioning of civil services over the next several years and will enable civil servants to rise up to the challenges that all public institutions are likely to face.
- 3.1.2 Competency framework is built on the foundation of job analysis and job description. This is particularly relevant when it comes to identifying core competencies for each individual position. There should be correlation between the priority competencies needed for a job and the main tasks and responsibilities that make up a large percentage of the work. Job description contains description of several duties / responsibilities that are carried out by an employee. It is advisable that a limited number of priority competencies are selected for each position, i.e. only those that are essential for the position. The competencies should be identified in a process of job analysis in consultation with an experienced/high performing employee and her/his superior or through focus group discussions. It is advisable to determine competencies for standard jobs i.e. jobs which have similar functional responsibility in different institutions across the civil services (for Lower Division Clerk, Upper Division Clerk, Office Attendant, Assistants etc.)



3.1.3 Core Competencies detailed below are designed for application to all positions in the civil service. Core competencies are to be imbibed by all employees. However, it should be acknowledged that some competencies are essential for certain positions (Strong communication skills for a position dealing directly with citizens). It is suggested that, for each position, a set of not more than 8 priority competencies should be extracted from the framework below and specified in the job description.

### 3.2 Core Competencies for civil servants:

1. Ethos & Ethics
2. Professional development and Integrity
3. Problem solving, initiative and change
4. Team work
5. Communication
6. Personal effectiveness and result orientation
7. Leadership
8. Planning and Organising
9. Mentoring

3.2.1 Brief description of each Core competency, its sub component and detailed behaviour indicators that need to be demonstrated are grouped as follows:

Competencies		
Competency	Name of sub components	Meaning
1. Ethos & Ethics		<b>Exhibits citizen centrisms and inclusiveness, promotes public good and long-term interests of the State/Nation.</b>
	1.1 People First	Passion for serving people with special care for the marginalised and disadvantaged. Being approachable, welcoming, caring and rising above bias while interacting with people.
	1.2 Strategic Direction	Setting strategic direction of the organization in response to the needs of government and citizens, and ensuring its delivery.  Develop strategic plans to ensure the organization's future robustness.



	1.3 Organisational Awareness	Understanding of the organisation's mandate, structure, policies, processes, norms and its interface with other organisations.
	1.4 Empathy	Empathy is about being able to accurately hear out and understand the thoughts, feelings and concerns of others, even when these are not made explicit.
	1.5 Self Awareness and Self Control	Identifies one's own emotional triggers and controls one's emotional responses. Maintains professionalism and emotional restraint when provoked, faced with hostility or working under stress.
<b>2. Professional Development &amp; Integrity</b>		<b>The continuous acquisition and application of necessary knowledge, skills and behavior to achieve high levels of work performance and integrity.</b>
	2.1 Continuous acquisition of knowledge and skills necessary for the job	It ensures that the civil servants has knowledge and skills necessary for the job, takes steps to find out if there are gaps / changes and then address them.
	2.2 Commitment to personal and professional development	Takes responsibility for personal and professional development, displays motivation and a commitment to learning and self improvement.
	2.3 Knowledge sharing	Shares knowledge and information with others so that they can learn.
	2.4 Integrity	Stimulate trust and respect of others through honesty, abides by civil service code of conduct and challenges rule breaking by others.
<b>3. Problem solving</b>		<b>The ability to act pro – actively and respond positively, creatively and constructively to changing situations and new demands.</b>
	3.1 Problems solving skills	Presents not just problems but proposes solution to issues.
	3.2 Initiative & Drive	Contributing more than what is expected to the job. Refusing to give up when faced with challenges and finding or creating new opportunities.



	3.3 Innovation of work solution	Develops and suggests fresh ideas that provide solution to workplace challenges; encourages new ideas and innovations; open to change.
	3.4 Creativity	Develops creative insights into situations and questions conventional approaches.
	3.5 Ability to face challenges	Ability to resolve difficult or complicated challenges
<b>4.Team work</b>		<b>The ability to work effectively in groups and teams, to cooperate with other members and to contribute through active participation in order to achieve collective goals.</b>
	4.1 Building constructive working relationships	Builds constructive working relationship through cooperation, acceptance and respect for others
	4.2 Facilitating team work	Promotes cooperation and commitment within a team to achieve goals and deliverables.
	4.3 Helping others to resolve conflicts	Helps others resolve disagreements and conflicts.
	4.4 Respecting different viewpoints and orientation	Respects different viewpoints and welcomes diversity of cultures and orientations.
	4.5 Ability to cooperate with other teams	Builds and maintain constructive and productive relationship with other teams and their members.
<b>5.Communication:</b>		<b>The ability to communicate effectively both orally and in writing, conveying information clearly, accurately and timely.</b>
	5.1 Tactfulness	Has patience and use good judgment in communication, keeping polite behavior in all interactions.
	5.2 Clear conveying of ideas, facts and instructions	Conveys ideas, facts and instructions – orally and in writing- with clarity, using language the other person will best understand.
	5.3 Active listening	Listens, understands and consider ideas of others
	5.4 Encouraging feedback	Encourage feedback from others

	5.5 Adaptive communication style	Changes the communication approach and style to meet preferences and needs of others.
	5.6 Effective participation at meetings	Conducts and /or participate in meetings and group discussions efficiently.
<b>6. Personal Effectiveness and Result Orientation</b>		<b>Consistent performance at a high level. Achieving goals and continuously improving the quality of service to people.</b>
	6.1 Focusing on results and outcomes	Focus on results and desired outcomes and how best to achieve them. Produces good quality output on time.
	6.2 Building and Maintaining Citizens / Customer Satisfaction	Builds and maintain satisfaction with the services offered by meeting or exceeding expectations.
	6.3 Paying attention to details	Pays attention to details and produces accurate results.
	6.4 Efficient Management of Time and Resources	Improves Productivity by managing time, priorities and resources to achieve goals and secure Value for Money
	6.5 Effective Decision Making	Makes timely, informed decisions that take in to account the facts, goals, constraints and risks.
	6.6 Analytical Thinking	Applies analytical thinking by breaking a situation into smaller pieces, tracing the implications of a situation step-by-step. Making comparison of different aspects and causal relationships.
<b>7. Leadership</b>	6.7 Ability to work under pressure	Keeps composure in stressful or adverse situation.
		<b>Motivating people to achieve high performance in working towards team and organisational goals.</b>
	7.1 Translating strategic goals to everyday work	Links vision, values, goals and strategies to every day work.
	7.2 Creating Positive Work Environment	Creates a positive work environment where   employees are motivated to do their best.



	7.3 Goal Setting	Sets clear, meaningful, challenging but attainable group goals and expectations.
	7.4 Effective Delegation	Manages employees by delegating and entrusting tasks and assisting them to succeed in their performance.
	7.5 Employee Motivation	Regular positive and critical feedback to team members to motivate and improve performance.
	7.6 Leading by	ExampleBe an excellent role model
<b>8.Planning and Organising</b>		<b>The ability to plan and organise, coordinate and monitor activities and work for self and team members.</b>
	8.1 Effective Planning	Plans the best use of available resources – generate departmental plans and activities that are understood by employees and identify necessary resources and skills.
	8.2 Team Planning	Objectives of Individual that support team plans and service goals.
	8.3 Holding members accountable for work results.	Holds team members accountable for achieving the results that have been agreed on.
	8.4 Risk Management	Evaluates risks and puts realistic plans in place to manage it.
	8.5 Ensuring Meeting of Deadlines	Takes early action to deal with issues that affects deadlines to ensure delivery on time.
<b>9.Mentoring</b>		<b>Assisting people to improve performance and achieve their potential.</b>
	9.1 Identifying of Training Needs	Identifies training needs of employees and takes action to meet them by formal and informal learning and development methods.
	9.2 Talent Management	Identifies talent and potential in employees and creates development plans to realise it.
	9.3 Coaching	Personally coaches employees to improve their performance.

## PERFORMANCE MANAGEMENT

- 4.1.1 Systematic study and analysis of training needs is essential to ensure success of any training programme. Studies by ARC shows that analysis of training needs is not given sufficient importance in most training programmes. Main reasons for the same are:
- a) Training Need Analysis is a difficult and time consuming process.
  - b) Non availability of information on the nature and functions of a job, specifications of the job.
  - c) Difficulty in accessing Performance Appraisal Reports etc.
- 4.1.2 Systematic approach in determining training needs shall ideally include:
- a) Organisational Analysis.
  - b) Competency Mapping
  - c) Performance Appraisal
  - d) Training Need Analysis
- 4.1.3 G.O (P) No. 344/66/PD Dated 22nd August 1966 is the cornerstone of Confidential Report System of Government employees in Kerala. Primary aim of recording Annual Confidential Report (ACR) of officials is an objective assessment of the capabilities of the individual officer in the performance of her/his duties and to forecast their capacity/capability for undertaking more responsibilities. It is designed to serve as a common standard for promotions. With this view, effort is taken to assess ability of the



official to apply intelligently rules and procedures in the cases dealt by her/ him. Quality of leadership, behavior towards subordinates, superiors and the public are also points that have to be noted. The objective of ACR is not merely to screen an officer's potential for higher positions. It also aims at motivating the employee do her/his present job better. Assessment of qualities/ability of an employee by review of her/his achievements and capabilities Competent Authority should attempt correction of deficiencies observed to improve her/his functioning. This is essential for increasing general efficiency of administration.

#### **4.2 Limitations of present Confidential Records System**

1. Unclear performance standards as a result of disconnect between competencies and performance
2. Possibility for bias on the part of superior officers
3. Absence of remedial measures for poor performance
4. Justification usually not given for awarding top grades
5. No motivation/incentive for officials who work hard
6. No provision to measure quantity and quality of work
7. Meaninglessness of performance appraisal in the absence of specific job description.
8. Present performance appraisal format inadequate in assessing potential of an official to hold higher responsibilities.
9. Present system is a routine form filling exercise rather than a performance appraisal
10. Not useful to assess training need.
11. Not mandatory for all employees - covers only supervisory and posts above that
12. By practice, submission of ACR has become the sole responsibility of official to be reported on.

4.2.1 While analysing the management of performance at individual level, it is important to understand that the current system in government only 'appraise' and not 'manage' performance. Measurement of performance is based on the ACR. Though it is a well established system, it has several gaps that limit its utility as an effective performance appraisal and management tool. Effectiveness and credibility of the ACR that is based on the philosophy of control and secrecy has been questioned and viewed negatively.

Observations of 2nd ARC of Government of India in this regard are worth mentioning. The Second Administrative Reforms Commission has identified the following deficiencies in the system of appraisal of civil servants.

- a) It lacks in quantification of targets and evaluation against achievement of targets.
- b) The ACR system does not give scope for a two way consultative process and there is a lack of clarity about performance standards.
- c) Performance appraisal becomes meaningless in cases where the job fit is ignored while posting an officer, and where there are frequent transfers.
- d) The quality is seriously affected when reporting officers write ACRs of a large number of employees, some of whom they may not even personally recognize.
- e) Since the present system shares only an adverse grading, a civil servant remains unaware about how she/he is rated in her/his work. Hence there is no incentive for good performance.
- f) Many reporting officers pay little attention to distinguish between good and average workers. So, most Government officials end up getting very good/outstanding grading which is considered “good for promotion” and there is no motivation for real performers.
- g) The system of deciding on representations against adverse entries takes so long that reporting officers avoid giving an adverse entry. Often, for want of evidence against an employee, the reporting officer is in a defensive position and thus unable to justify the adverse remarks. In fact, it will not be inappropriate to say that we rarely punish and never reward in the present system.

4.2.2 ACR is recorded based on a calendar year. During meetings of Departmental Promotion Committees (DPC) held in the Public Service Commission, Members of the Commission have noted lack of seriousness with which ACRs are often recorded. Reporting officers are not devoting adequate time and effort in writing ACRs and to ensure that entries are accurate and do justice to the official reported upon.

4.2.3 In All India Services, it is stipulated that the reporting officer, at the beginning of the year, has to set quantitative/physical targets in consultation with each official whose report she/he is required to write. In Kerala, in practice, no such effective consultation takes place at the beginning of the year for fixing targets. We need a well structured Performance Appraisal Report (PAR) system on par with required competency. This would help in improving performance of the officials and of the organization in which



they work. Annual Performance Appraisal Report, including the overall grade and assessment of integrity, is to be disclosed to the officer reported upon. ARC recommends that similar provisions for promoting transparency need to be introduced in all Services/organizations.

- 4.2.4 The current practice is to appraise the 'individual' rather than her/his 'performance', making the assessment more personality oriented and not function related. In the absence of a mechanism to link individual performance with organizational goals and achievements, appraisals focus on a few parameters and tend to ignore the larger frame of performance management. ARC is of the view that a comprehensive rule is to be made for effective operationalisation of the Performance Appraisal system. A draft Performance Appraisal Rule is attached (**Annexure II**).



## ETHICS & CIVIL SERVICE CODE

- 5.1.1 Ethics is defined as a set of values and principles which helps guide behavior, choice and actions. It helps to decide whether one's actions are right or wrong. Organizations as well as individuals have ethical standards. These standards help ensure that individuals belonging to an organization have a consistent approach in carrying out their responsibilities and making decisions. They also ensure that members of an organization maintain consistent and appropriate behavior towards one another and the public.
- 5.1.2 *'Civil servants have special obligations because they are responsible for managing resources entrusted to them by the community, because they provide and deliver services to the community and because they take important decisions that affect all aspects of a community's life. The community has a right to expect that the civil service functions fairly, impartially and efficiently. It is essential that the community must be able to trust and have confidence in the integrity of the civil service decision-making process. Within the civil services itself, it needs to be ensured that the decisions and actions of civil servants reflect the policies of the government servants. The expectation that the civil servants 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.'*(ARC Gol)
- 5.1.3 2nd ARC of Government of India (Gol) inferred that the current set of ethical norms contained in the Central Service (Conduct) Rules , 1964 and of various State Governments are general norms like 'maintaining integrity and absolute devotion to duty' and not indulging in 'conduct unbecoming of a government servant' ,is generally directed towards cataloguing specific activities deemed undesirable for government servants, and that these Rules do not constitute a 'code of ethics'. The ARC of Gol has



discussed the idea of embodying civil service values in a law and recommended to enact a Civil Services Bill incorporating 'civil service values' and 'Code of Ethics'. It also recommended that the existing Conduct Rules for civil servants need to be redrawn based on the values and Code of Ethics.

- 5.1.4 2nd ARC Report goes on to say *"A comprehensive Civil Service Code can be conceptualized at three levels. At the apex level, there should be a clear and concise statement of the values and ethical standards that a civil servant should imbibe. These values should reflect public expectations from a civil servant with reference to political impartiality, maintenance of highest ethical standards and accountability for actions. At the second level, the broad principles which should govern the behavior of a civil servant may be outlined. This would constitute the Code of Ethics. At the third level, there should be a specific Code of Conduct stipulating in a precise and unambiguous manner, a list of acceptable and unacceptable behaviour and actions"*.
- 5.1.5 The 2nd ARC of Government of India suggested inclusion of the following principles in the proposed Code of Ethics for Civil Servants:
- ▶ Integrity: Civil Servants should be guided solely by public interest in their official decision making and not by any financial or other consideration either in respect of themselves, their families or their friends.
  - ▶ Impartiality: Civil Servants in carrying out their official work, including functions like procurement, recruitment, delivery of services etc. should take decisions based on merit alone.
  - ▶ Commitment to Public Service: Civil Servants should deliver services in a fair, effective, impartial and courteous manner.
  - ▶ Open Accountability: Civil Servants are accountable for their decisions and actions and should be willing to subject themselves to appropriate scrutiny for this purpose.
  - ▶ Devotion to duty: Civil Servants maintain absolute and unstinting devotion towards their duties and responsibilities at all times.
  - ▶ Exemplary Behavior: Civil Servants shall treat all members of the public with respect and courtesy and, at all times, should behave in a manner that upholds the rich traditions of the Civil Services.
- 5.1.6 It is to be recognized and affirmed that good governance is an inalienable right of the people in a democracy. It should be participatory, transparent, accountable, effective and efficient. Governance must be politically neutral and professional. Efficient public service is an essential instrument for promotion of good governance. Although the

present Conduct Rules of Kerala is comprehensive and has a wide ranging set of guidelines, it has many shortcomings. Commission is of the view that there are many provisions in the Kerala Government Servants Conduct Rules, 1960 that are unlikely to be enforced or does not have any direct linkage with the official work of the civil servants. Civil Service and the civil servants shall be guided by certain values in the discharge of their functions. ARC desires to point out a few:

- a) Allegiance to the Constitution and law, democracy, nationalism, sovereignty, integrity and security of the state
- b) Function in an apolitical manner regardless of the political party in power; uphold interests of the nation/state
- c) Function with the objective that civil service and civil servants are to serve as instruments of good governance and provide services for the betterment of the people and foster socio-economic development
- d) Act objectively, impartially, honestly, equitably, diligently and in a fair and just manner
- e) Act with integrity and in a courteous and transparent manner
- f) Establish high standards, ensure quality service, effective and prompt decision making
- g) Be accountable for the decisions and the decision making process in the discharge of functions
- h) Enable effective management, professional growth and leadership development in civil services
- (I) Uphold high ethical standards.
- (j) Establish merit as the fundamental principle in employment, promotion and placements, as contemplated in the Kerala State and Subordinate Services Rules, 1958
- (k) Recognize that the Civil Service and Civil Servants are required to discharge functions with due regard to the diversity of the state without discrimination based on caste, community, religion, gender or class and protect interests of the poor, underprivileged, weaker and unreached
- (l) Conduct/behave in a manner conducive to promote the principles underlying the Constitution of India while providing honest, impartial and frank advice to



political executive in the discharge of their functions

- (m) Recognize that misuse of official position or information amounts to violation of trust reposed in the civil servant
- (n) Ensure that public money is used with utmost economy and care;
- (o) Ensure that public service provides a workplace that is free from discrimination and recognizes the diversity of the state.
- (p) Ensure that the Civil Service establishes workplace relations that value communication, consultation, cooperation and input from employees on matters that affect their workplace.

5.1.7 The Commission is of the view that the Government shall promote values and a high standard of ethics in Civil Service with competence and loyalty; care and diligence; responsibility, integrity, honesty, objectivity and impartiality; without discrimination and in accordance with the law. For effective imbibing of Civil Service Values, Government shall, prepare a Civil Service 'Code of Ethics' for guiding the civil servants. Code of Ethics for the civil servants should set forth values and ethics of civil service to guide and support civil servants in all their professional activities. It will serve to maintain and enhance public confidence in the integrity of the civil service. The Code will also serve to strengthen respect for, and appreciation of, the role played by the civil service within the existing laws. The Code should enunciate civil service values as well as conflict of interest. Civil servants shall be guided in their work by professional and ethical values.

## 5.2 Ethical Values:

- Acting at all times in ways that uphold public trust.
- Civil servants shall perform their duties and arrange their private affairs in a way that foster public confidence and trust in integrity, objectivity and impartiality of government.
- Civil servants shall act at all times in a manner that will bear closest public scrutiny.
- Civil servants, in fulfilling their official duties and responsibilities, shall make decisions in public interest.
- If a conflict arises between private interests and official duties of a public servant, the conflict shall be resolved in favour of public interest.
- They should not have private interests, other than those permitted pursuant to these measures that would be affected particularly or significantly by government actions in which they participate

- They should not solicit or accept transfers of economic benefit.
- They should not knowingly take advantage of, or benefit from, information that is obtained in the course of their official duties and that is not generally available to the public.
- They should not directly or indirectly use, or allow the use of, government property of any kind, including property leased to the government, for anything other than officially approved activities.

**5.3** All Government servants shall be required to take an oath of allegiance to the Constitution of India, Code of Ethics and other laws in force in the prescribed form and the oath is also to be taken by all new entrants to Government service. The oath/affirmation can be taken / made in Malayalam.

5.3.1 The taking of oath should be made one of the terms of appointment of persons to government service. A record should be maintained of full-time government servants who have taken/made the prescribed oath/affirmation. Such a record should be maintained in a separate register for different grades of government servants. The cover and the first page of the register should show the grade of government servant in respect of whom the record of oath/affirmation is kept in the register. A copy of the form, oath/affirmation should be pasted on the next page, and thereafter entries may be made in the register. The oath/affirmation should be made before the Head of Department / Office as may be appropriate, or before a gazetted officer who may be authorized in this behalf. Two witnesses shall attest it. The replica of the oath/affirmation shall be printed and form part of the book on Code of Ethics. This shall be signed by the government servant and counter signed by the officer mentioned above. The same may be handed over to the government servant. He shall keep the same throughout his service period in personal custody.

#### **OATH**

5.3.2 I, ..... (Name) do solemnly affirm that I will be faithful and bear allegiance to State and to the Constitution of India and Code of Ethics as by law established, that I will uphold the interest of the State and that I will carry out the duties of my office loyally, honestly and impartially.

*Signature*



### 5.3.3 THE REGISTER OF OATH

Sl.No.	Name of government servant	Date on which oath was taken/made	Name, Designation and Signature of the officer before whom the oath is taken	Name , Designation and Signature of witnesses	Signature of the government servant

## 5.4 Etiquette:

5.4.1 Etiquette is a French word which means 'ticket'. On important occasions, a ticket of instructions was issued to the masses detailing what they should do. These tickets enlist the rules of well-mannered behavior observed in a polite society. In a professional sense, this includes behavior towards clients and colleagues, which is in their best interest. In simple terms, it means knowing how to act. While the term 'office etiquette' may conjure up images of stiffness and formality, it is a simple set of norms to be observed by officials. Just as living in society requires us to follow a set of conventions and rules, observing appropriate social behavior within the work context ensures team spirit and make day to day work experience enjoyable.

- Be –punctual:-Being punctual shows that you respect the time of customers /people and in turn it will prompt them to respect your time too.
- Dress appropriately:- A respectable and neat way of dressing should be a part of self discipline.
- Don't forget or ignore to say 'please; Thank you; you are welcome; I am sorry; Pardon etc' wherever/whenever needed.
- With each error-apologise
- With each gratitude received-say 'You're welcome '
- Respect others-It is an attitude. Respect those around you and they will return that

respect. The respect should be communicated through words, deeds and body language.

- Do not consistently interrupt people- Doing so will suggest that your time or opinion is more important than theirs. If your co- worker or superior officer is on the phone or otherwise engaged, and you need to ask a question, wait for them to finish.
- Refrain from being loud-whether you are on the phone or talking to a colleague. If you have received a call on your phone, it is a good idea to take a walk down to the corridor. Keep mobile phone on vibrating /silent mode. Avoid making personal calls at work place. Be especially quiet in areas where co-workers are on office business /conversations.
- Exhibit a positive attitude and pleasant demeanor.
- Maintain eye contact and smile.
- Be a good listener & soft spoken
- Be patient in debates.
- Show common respect and consideration for others.
- Use appropriate tone of voice.
- Do not gossip.
- Keep personal work place clean and neat at all times.
- Arrive at office on time.
- Always be punctual at office and official assignments.
- Arrive at meetings on time.
- Remember your manners always.
- Be ready to learn, adapt & change.
- Do not laugh at other's weakness.
- Respond properly to enquiries.
- Keep proper posture.
- Show willingness to help.
- Be ready to work as a team
- Don't hurt anyone's feelings.



- Be kind, courteous, and respectful.
- Do not smoke, drink or chew in office.
- Keep in mind that others work around you.
- Be pleasant and smile when answering a call and ask how you can help.
- When making a call, introduce yourself.
- Keep your working hours- Working 10- 5 doesn't mean that you arrive at 10 and leave at 5. It means you work from 10- 5.
- Keep an open mind.
- Set deadlines and meet them.
- Accept responsibility.
- Learn to accept criticism.
- Be assertive, not aggressive.
- It is polite to stand when a senior citizen or officer enters a room.
- Show empathy.
- Act with honesty and dignity.
- Knock before entering.
- Apologise if you are clearly in the wrong.

5.4.2 It is interesting to quote the words of Lillian Eichler Watson. *"Don't reserve your best behavior for special occasions. You can't have two sets of manners, two social codes- one for those you admire and want to impress, another for those you consider unimportant. You must be the same to all people".*



## CENTRE FOR GOOD GOVERNANCE - KERALA

6.1.1 Various States in India have established Centers of Good Governance (CGG). CGG of Telengana State (formerly of united Andhra Pradesh) has evolved as an outstanding model on governance transformation of the State. The Inter-State Council Secretariat has recommended this model of CGG to other States that are planning to establish their own Centers of Excellence for action research and change management for good governance. Establishment of CGG can play an important role in State's goal of transforming governance. CGG can undertake action research, provide professional advice and conduct change management programmes for state government and its organisations. It must work with functional autonomy. CGG has to work closely with policy makers like ministers, senior officials, management experts, institutions and other stakeholders, especially the people, for building people centric governance practices. CGG can also act as a permanent administrative reforms mechanism to suggest measures for administrative reforms and to handhold/oversee administrative reforms initiatives of government departments and agencies. The CGG shall be a think tank for bringing in governance reforms in this State. The mandate of Kerala Development and Innovation Strategic Council (K-DISC) shall also be entrusted to the proposed CGG or vice versa. CGG-Kerala (CGG-K) can be registered as a society under the Travancore-Cochin Charitable Societies Act, 1955 to ensure functional autonomy in research and training programmes and day-to-day operations. It may adopt innovative approaches in its work culture which may include:

- State government's governance reforms
- Handling Projects focusing on public satisfaction.
- Better Service Delivery based on competency framework.
- Promotion of e-governance and m-governance initiatives and its research.
- Government Process Re-engineering
- Assessment of governance gaps



- Zero corruption administration.
- Identification of unreached sections of society and facilitate their development.
- Policy research and assist government in policy making.
- Impact assessment of policies.
- Keep robust relations with apex training institutions, State Planning Board etc.
- Work with government departments to implement governance reforms.
- Act as a think tank to foster growth-oriented and people-centric governance.
- To create a bank of best practices and tools in governance reforms- including e-governance.
- Asset management and advice on optimum utilization of government infrastructure.
- Support change management programmes in government.
- Provide consultancy service to promote good governance.
- Unique Institution with a blend of knowledge, research and action.
- Custodian and controller of Master Data Management in Government.
- Foster growth oriented and people centric governance.
- To provide consultancy services to national, state and local governments and developing countries to promote good governance.
- National and international seminars and workshops in domain areas.
- Capacity development in specialized subjects and Training of Trainers (ToT) in domain areas.

6.1.2 It is learned that the IMG has prepared a proposal for the establishment of CGG-K which is pending before the State Planning Board. It is envisaged as an independent functional unit with higher order function for providing high quality research, development, training and consultancy. The Commission is of the view that the proposed CGG-K shall be set up as an independent institution under Government of Kerala, separate from IMG. Its status should be on par with that of the State Planning Board. Model Bye Laws of 'Centre for Good Governance – Kerala' is placed at **Annexure III**.

## **6.2 Organisation and Governance Structure of CGG.K**

6.2.1 The proposed Centre for Good Governance should have a Governing Council chaired by Chief Minister of Kerala. Vice Chairman of State Planning Board may be ex-officio Vice Chairman and Chairman of the Steering Committee of CGG.K. Other members of the Governing Council may be Chief Secretary to government, all government Secretaries, Head of the Department of Public Administration of Kerala University, Head of institutions like IIM Kozhikkode, IIT Palakkad, IIITM.K, IMG, KILA, CMD, one

representative each of eminent persons from private sector, academia and civil society with expertise and interest in governance reforms. Day-to-day executive functions and administration is to be vested with Director General appointed from among officers of Indian Administrative Service not below the rank of Addl. Chief Secretary/Principal Secretary, preferably having research experience and proven track record in Governance reforms. Other members of Steering Committee may be the Chief Secretary, Finance Secretary, IT Secretary, DG IMG, DG KILA, and Secretary P&ARD. Convener of Steering Committee meetings and Governing Council will be the Director General CGG-K.

### 6.3 Divisions and Core Areas.

- 6.3.1 Four Divisions - IT & e.Governance ; Management Division; Master Data & Statistics Division; Administrative Reforms Division- should have its own objectives and area of operation. Each Division will be under a Division Chief with status of an Additional Secretary to Government of Kerala. Government shall prescribe their selection procedure, qualifications, experience, etc. In addition to these permanent staff, Divisions may engage domain experts as required from time to time, from open market on contract or consultancy basis. Divisions will have to constantly interact with secretaries, head of departments, other officials, civil society organizations, universities, educational institutions, local self governments etc to ensure that CGG-K stays focused on research and development of governance reforms.
- 6.3.2 **IT & e.Governance Division:** With fast pace of technological developments especially in the field of Information Technology, people are aware of the changes around the world and innovations in modes of service delivery. It is well known that application of IT would enable speedy, transparent and effective service delivery. Hence to keep pace with aspirations of the people, governments have to adopt/adapt governance changes/practices from around the world. CGG-K should initiate processes in this regard and handhold process reengineering in government departments and agencies. Research, development and monitoring of implementation of e.governance and m. governance programmes and adapting to required changes are the main objectives of this Division.
- 6.3.3 **Management Division:** This division should concentrate on Finance, Human Resource and Project management including project formulation, project appraisal etc. These shall not be confined to government activities alone, but should cover all people and activities in the state of Kerala. Project management acquires significance on the experience, so far, of the state in infrastructure development. Lack of capacity for project appraisal coupled with time overruns and subsequent cost overruns is an everyday story in our state. This issue is to be addressed by acquiring knowledge in project formulation,

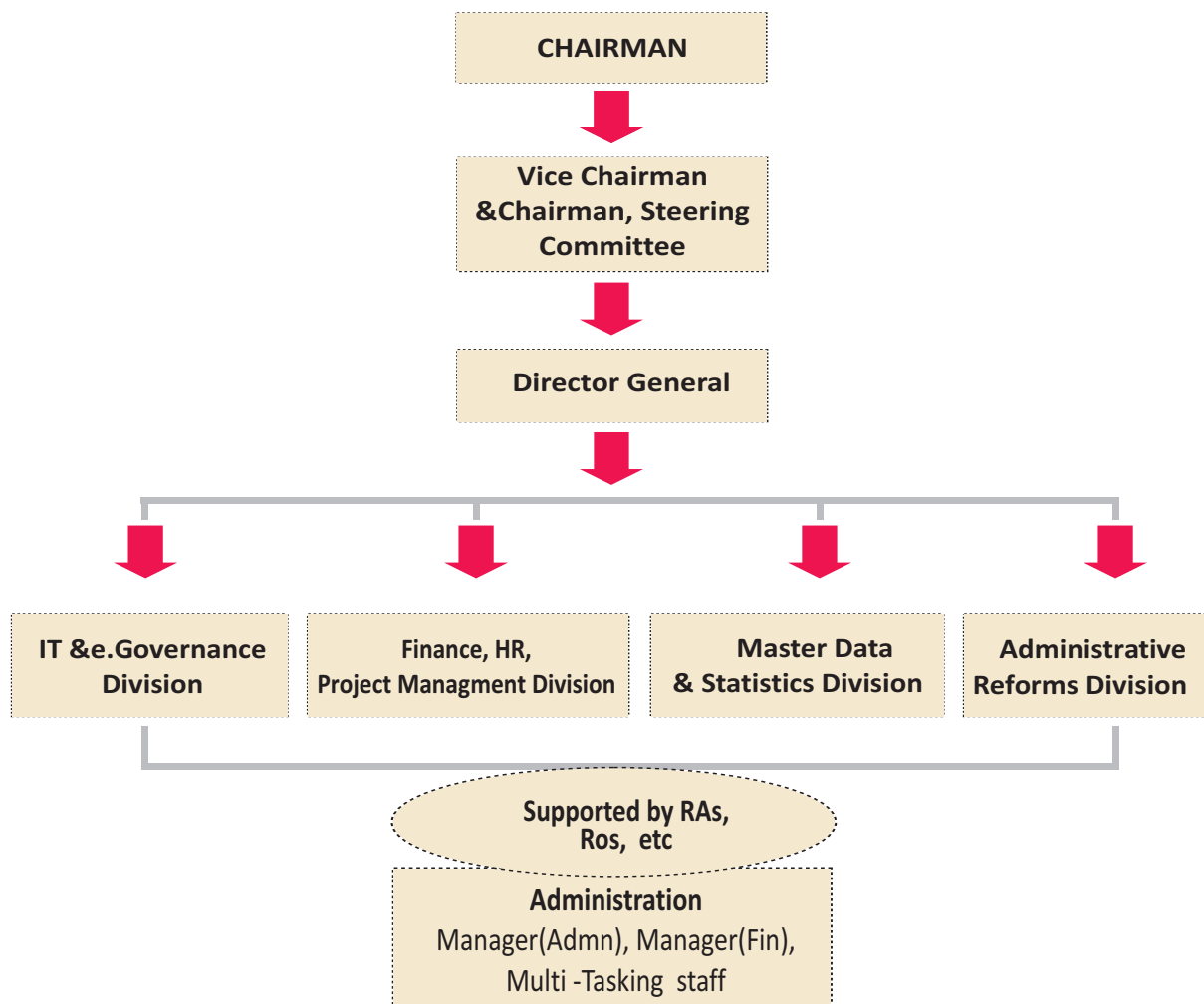


project appraisal and project management processes. Finance management shall cover entire gamut of resources, public expenditure, extra budgetary resources and economic development of the State.

**6.3.4 Master Data & Statistics Division:** Government organisations require processes to create, consume, manage and monitor master data, maintain complete and accurate records and keep those records confidential and secure. Trusted master data can be delivered to and synchronized with downstream applications and data warehouses. With accurate, timely and aggregated data available to programme owners, policy makers, data analysts and scientists, government organizations can have access to comprehensive and trusted information on aggregate cost, programme effectiveness and outcomes measurement. Data with government can be used as strategic asset to address several issues when it can be shared. Government agencies need a single, trusted source of all data. Key to single, trusted view of all data is Master Data Management. Master Data is data about citizens, programmes of all government departments and agencies, services, organizations, service providers including private sector, employees and more. Data quality is also essential for quality in decision making. Government data can be large and complex, from intelligence and home affairs to social welfare services and requirements for data capture, storage, transformation, aggregation and analysis are extensive. This Division may work along with other departments/organisations particularly Statistics Department and State Planning Board.

**6.3.5 Administrative Reforms Division:** Since its formation in 1956 the state of Kerala had appointed four Administrative Reforms Committees including the present Administrative Reforms Commission. What is the explanation for this never-satisfied urge for administrative reform? There is no single answer to this question. But we can see that the need for reform is a never-ending process because the aspirations of people is growing day by day due to technological changes , economic reasons , social developments and a variety of other reasons. Governments have to keep pace with these aspirations in delivering services. Hence governments form Administrative Reforms Committees/Commissions at State and National Level. To respond effectively and quickly to changes continuous research and development in the field of public administration and governance by a specified institution is essential. Administrative Reforms Division in CGG-K can be entrusted with this task.

### Organization Chart of the proposed CGG-K.



RA - Research Assistant  
RO - Research Officer



#### **6.4 Location**

- 6.4.1 The proposed Centre for Good Governance –Kerala shall function as an autonomous institution. The CGG-K shall be located in Thiruvananthapuram district as constant interaction with ministers, government secretaries and officials, State Planning Board and other government institutions is necessary. Ideally CGG-K shall have a campus in at least 10 acres of land with facilities for office buildings, guest house, and conference halls and staff quarters. Campus may be developed on international standards with facilities suitable for a research and development organization.

#### **6.5 Finance Resources**

- 6.5.1 Initial capital expenditure of the Centre can be sought from DoPT Government of India. Government of Kerala shall meet recurring expenditure for initial five years. After five years 50% of the approved budget of CGG-K may be borne by Government of Kerala as Grant-in-Aid. CGG should meet remaining 50% from own revenue sources such as consultancy services to Government of Kerala, Government of India, other state governments and private sector stakeholders and revenue from capacity development programmes .

*'Administrators are not born but made'*

LK Jha.

## CAPACITY DEVELOPMENT FRAMEWORK.

7.1.1 Discussions in previous chapters lead ARC to the need for a comprehensive capacity development framework for Civil Servants in Kerala. Objective of the framework is creation of an enabling environment for Civil Service to function effectively, transparently and with accountability. Citizen Centric approach is the corner stone of this framework. This chapter discusses in detail how a person recruited to government service could be transformed to an efficient Civil Servant and contributes to evolving a positive civil service culture in Kerala. ARC intends to study the recruitment process as part of study on Personnel Reforms. Therefore, present report on capacity development covers only the post recruitment stages in civil service. These stages include: Oath or Affirmation, Induction Training, Phase Trainings and Mid-career Reviews.

7.1.2 **1. Oath or Affirmation:**

All Government servants shall be required to take an oath of allegiance to the Constitution of India, Code of Ethics and other laws in force in the prescribed form. Every Civil Servant irrespective of the post should take the oath at the time of entry in the service. The oath/affirmation can be taken / made in English or Malayalam. Taking of oath should be one of the conditions for appointment of persons to government service. Record should be maintained of full-time government servants who have taken/made the prescribed oath/affirmation. The oath/affirmation should be made before the Head of Department / Office as may be appropriate, or before a gazetted officer who may be authorized in this behalf. Two witnesses shall attest it. Replica of the oath/affirmation shall be printed and form part of the book on Code of Ethics. This shall be signed by the government servant and counter signed by the officer mentioned above. The same may be handed over to the government employee. She/he shall keep the same throughout her/his service in personal custody. This exercise will inculcate in employees a sense of pride and make them aware of the importance of civil service.



7.1.3 **2. Induction Training:**

- (1) The objective of induction training is manifold.
  - a. Instill civil service ethics and values in the new recruit
  - b. Facilitate understanding of government structure and its different components.
  - c. Impart skills, attitude and knowledge necessary for performing a specific job in a particular department.
- (ii) The inputs for instilling civil service ethics and values, and understanding structure of government machinery would be common to all departments. But, skills and knowledge required for specific responsibilities of different departments would vary. Thus, Induction Training shall have two components viz. foundation course for general subjects and professional course for department specific subjects. Government could design content and conduct of Induction Training after discussions with departments and other stakeholders. IMG and KILA shall be entrusted with this task. Competency Framework may be a basis for preparing content and design of induction trainings and phase trainings. Foundation Course could be limited to one week. Professional Course shall be of six weeks. A new entrant to civil service should be given training before starting work. Facilities in District Training Centers attached to District Collectorates or Civil Stations can be used for foundation course.
- (iii) Foundation course need not be residential. Six weeks Professional Course shall be residential and concluded after conducting an examination. Passing of this examination will be taken as successful completion of Induction Training. ARC is of the view that successful completion of induction training shall be made mandatory for declaration of Probation. Those who fail to clear the examination shall take the exam with the subsequent batch of trainees.
- (iv) Staff promoted to various cadres need not be deputed for Induction Training, as there are Phase trainings for them.

7.1.4 **3. Phase Trainings:**

1. Phase I or Cutting edge Level: All officers after successful completion of probation shall be deputed for residential training of two weeks duration.
2. Phase II - Supervisory / Lower Management Level: Immediately after promotion to supervisory/ lower management level. This training will be for four weeks. First two weeks will be in the training institution, next one week in field/office attachment and last one week in the training institution.



3. Phase III - Middle Management Level: Prior to entry to middle management level. Duration of this training shall be four weeks. First one week in the training institution, next one week for field/office attachment, followed by a week in a reputed national level institution and last one week in the training institution.
4. Phase IV - Senior Management Level: Prior to entry in senior management level. Duration of this training shall be four weeks. First week in the training institution, next one week in field/office attachment, one week course in any reputed national/international institution and last one week in the training institution.

#### 7.1.5 **4. Mid-career Reviews:**

There shall be three Mid-career Reviews in addition to Departmental Promotion Committee reviews during the service of a Civil Servant. It shall be done in the 10th, 16th and 22nd year of service or prior to one's entry to supervisory, middle management and senior management, whichever is earlier.

#### 7.1.6 **5. Specialized, Refresher and Supplementary Trainings:**

In addition to Induction Courses and Phase Trainings, specialized trainings in thematic areas, Refresher courses and Remedial trainings maybe arranged, as and when needed, by Training Institutions in Kerala. Supplementary trainings are meant for those civil servants who fail to achieve required grades in Performance Appraisal and those who are recommended by PAR for training in a specified area.

### 7.2 **Institutional Mechanism for State Training Plan.**

7.2.1 For imparting training aimed at Capacity Development, ARC suggests networking of training institutions under one umbrella. Based on the functions of the department and the subject of training, all training institutions in the state shall be grouped into four categories under four Lead Training Institutions. ARC recommends the following institutions as Lead Training Institutions:-

1. Institute of Management in Government (IMG)
2. Kerala Institute of Local Administration (KILA)
3. Kerala Engineering Research Institute (KERI)
4. Kerala Police Academy / Police Training College .

#### 7.2.2 **Trainings / Training Institutions coordinated by IMG:**

General trainings of all departments and general as well as executive trainings of



Agriculture & Allied Departments and Health Department will be handled by IMG. IMG will also coordinate with Departmental Training Institutions under these departments.

**7.2.3 Trainings / Training Institutions Coordinated by KILA:**

Subjects on Development Administration, De-centralized planning, Co-operation, Social Justice etc. will be handled by KILA. All departments shall utilize expertise of KILA in these areas. KILA will also coordinate with departmental training Institutions under concerned departments.

**7.2.4 Trainings / Training Institutions coordinated by KERI:**

This is an Institution under Water Resources Department functioning as a departmental training institution. KERI shall be developed as a training and research institution in engineering and allied subjects to cater to training needs of all technical / engineering employees in the departments of Public Works, Harbor Engineering, Local Self Government Engineering, Ground Water etc. KERI will also coordinate with departmental training institutions under these and other similar departments.

**7.2.5 Trainings / Training Institutions coordinated by Kerala Police Academy (/ Police Training College:)**

This Institution will act as the lead training institution in respect of uniformed forces such as Police, Fire and Rescue Services, Prisons, Excise, Forest, Motor Vehicles etc. It will also coordinate the functions of departmental training institutions under these and other similar departments.

**7.3 Role of IMG**

**7.3.1** As per the new State Training Policy, IMG has been designated as the Apex Training Institute of the state with attendant duties and responsibilities. The State Training Policy envisages training as the right of an employee and prescribes training at regular intervals of one's career. IMG on its part is to act as nodal agency and Director General of IMG is designated as Secretary to Government (Training) with a host of functions which include supervision, monitoring and execution of training plan of all departments to be undertaken through various training institutes. The functions also include apportioning training fund.

**7.3.2** Present legal status of IMG is that of a society registered under Travancore-Cochin Charitable Societies Act, 1955 (with the adoption of State Training Policy in 2004). IMG should be developed as a professional body. As per State Training Policy 2017 main role of IMG is in monitoring and guidance of State Training Policy. There is State Training Council (STC) with Chief Secretary as Chairman and Director General IMG as

convener. STC requires to meet twice a year to co-ordinate the preparation and execution of training plan for various departments.

#### 7.4 Restructuring of IMG

7.4.1 In the wake of the proposal for the establishment of a Center for Good Governance-Kerala and modified State Training Policy, status and functioning of Institute of Management in Government (IMG) needs thorough overhauling. IMG shall continue to function as the apex training institution of the State of Kerala. IMG shall co-ordinate and handhold training activities of all training institutions under various government departments and liaise with other research and educational institutions in the State. Advisory services of IMG shall be confined to training/ capacity development. IMG shall converge its capabilities and expertise in capacity development/ training and related matters. Capacity development of civil service in Kerala shall be structured as follows:

##### 7.4.2 Director General of IMG

) Director General of IMG shall be a full time senior IAS officer who has experience in capacity development and appointed through screening by a committee headed by Chief Secretary. The appointment should initially be for a minimum period of 3 years extendable up to 5 years.

##### 7.4.3 Director (Administration) & Director (Training)

At present an Additional Secretary from Government Secretariat service holds the position of Secretary IMG, who is the second in command in IMG. In addition, there are two Regional Directors at Kochi and Kozhikkode regional centers of IMG who are also Additional Secretaries from Government Secretariat service. Post of Secretary IMG may be re-designated as Director (Administration) and senior most faculty /professor of IMG may be appointed as Director (Training) who will coordinate the functioning of all five Divisions in IMG. Senior most faculty/ professor may be appointed as Regional Directors (Training). State Training Council shall also decide duties and responsibilities according to these nomenclatures.

##### 7.4.4 Divisions in IMG

**1. Accounts & Audit Training Division :** Objectives of this division are : provide support to officers and auditors working in various Government Departments, particularly department of Treasury , State Audit department, GST department and Finance department for their training needs; impart training to personnel of other departments, personnel in finance, budget, account & audit ; co-ordinate and hand hold various other training institutions in the state for training in finance, accounts and audit.



**2. Climate Change & Disaster Management Division:** Challenges in disaster management and climate change are extensive. Understanding and awareness of this area will help in ensuring preparedness for meeting its impact, and for taking up adaptation and mitigation measures. They should provide training and policy support to Government on these matters. This division will function in tandem with Institute of Land and Disaster Management (ILDM)

**3. Land Revenue Administration Division:** Objectives of this division are: develop expertise in regulatory matters which include Revenue, Law and Order and Land Reforms; develop capacities of personnel working in various regulatory departments of Government through continuous training programmes, co-ordinate with ILDM etc.

**4. Information Technology Division:** Main objective of this division is co-ordination of capacity development endeavors of various training institutions and government agencies such as IIITM-K, IT Mission etc. This division will act as a facilitator for e-governance initiatives of government. All capacity development programmes imparting IT related trainings would be under the purview of this division.

**5. Office Management & Management Development Division:** This division shall take up management development programmes for middle / senior management level government officials as well as other stake holders, organize state, national, and international conferences / seminars on administration / management etc., collaborate with institutions of national and international repute. This division will also impart training on service matters, soft skills and civil service ethics.

7.4.5 Each of the above Divisions will be under a Division Chief who will be a senior faculty in the relevant subject area. She/he shall coordinate with other training / research/academic institutions in the state and ensure that all capacity development programmes in subjects under the Division are conducted effectively. Infrastructure and other facilities of these institutions shall be used for conducting trainings as per approved training calendar. Training Calendar for each year will be prepared in advance after consultation with other training institutions and head of departments. The Division concerned will prepare training module for each domain. These modules will be applicable to training programmes in all training institutions.

7.5 ARC is of opinion that it is the prime responsibility of any government to provide effective capacity development to civil servants as a prerequisite for effective service delivery. State Training Council shall ensure appointment of required faculty, permanent or otherwise, in every training institution in general and IMG in particular.

7.5.1 As the Apex Training Institution of the state, IMG have dual role, as apex training institution of the state and as a Lead Training Institution. Therefore, IMG shall coordinate and monitor implementation of State Training Plan formulated in accordance with the State Training Policy. The State Training Plan shall be prepared and funds required for training will be assessed by IMG in consultation with each department, departmental training institution and Lead Training Institution (LTI) concerned. IMG shall ensure that all the training programmes are conducted in accordance with the State Training Plan. Training Curriculum, Training Module, Trainee's Manual, Trainer's Manual, and institute specific Training Calendar etc shall be prepared in advance by IMG in consultation with LTIs and departmental training institutions.

7.5.2 Permanent faculty, including those who are deputed from government departments, shall be limited to required minimum and possibility for engaging visiting/guest faculty may be encouraged. For this a resource pool shall be created and maintained by IMG. Resourcefulness and competency of the faculty need to be evaluated at regular intervals through feedback from trainees and role plays before curriculum committee. If needed, steps shall be taken to improve their performance through ToT and short term courses at leading institutions.

## 7.6 Role of State Training Council:

7.6.1 For the effective and smooth functioning of Capacity Development Framework, the State Training Council envisaged in State Training Policy 2017 shall be reconstituted with the following modifications.

**Chairman** : Chief Secretary.

**Convener** : Secretary, P&AR (Training) Department.

**Members:** Secretary, Finance  
Secretary, LSGD  
Secretary, IT  
Director General, CGG-K  
Head of the Institution (KEPA/PTC)  
Director General (IMG)  
Director General (KILA)  
Director, KERI.



Director, IHRD

Director, SCERT

Vice- Chancellor, Kerala University.

- 7.6.2 State Training Council as mooted in the STP 2017 shall be placed in Personal & Administrative Reforms Department in Government. Training Division in P&AR Department will function as the Secretariat of the State Training Council. Presently, one seat in AR.13 Section in P& AR Department handles the affairs of IMG and there is no other mechanism to deal with Capacity Development of civil servants in Kerala. In the circumstances mentioned at paragraph above there is a dearth of institutional mechanism in Government to deal with the proposed-to-be-revamped Capacity Development Framework in the State. Therefore, the Commission is inclined to suggest that one of the work study sections may be detached and shifted to the proposed Training Division and existing AR.13 section in P&ARD shall also be attached with the training division. Thus a Division with two Sections having four Assistants, one Typist, one Office Attendant, two Section Officers and one Under Secretary will constitute the Training Division and will act as the Secretariat of State Training Council. Commission is of the view that the Secretary to Government in P&AR Department shall be designated as the Secretary to Government (Training) also. The State Training Council shall supervise and direct the operationalisation of State Training Plan drawn up according to Competency Framework. The Council in turn will evolve criteria for the conduct of training, sharing of responsibilities and devolution of responsibilities/funds and supervises optimal development, maintenance and sharing of infrastructure of training institutions. The State Training Council shall meet at least once every six months or as required from time to time.

## **7.7 Role of Training Division in P& AR Department:**

- 7.7.1 With the introduction of mandatory trainings, mid career reviews, and State Training Council, the responsibilities of the government in providing capacity development facilities would increase exponentially. This governmental responsibility could not be left to IMG or any other institution. Government and State Training Council have to ensure that there is an effective system for capacity development through networking of institutions and IT support and that sufficient funds are available with each training institution for conduct of trainings as per State Training Plan and for other specialized, thematic and supplementary trainings. Secretary (Training) in P&AR Department will be the controlling officer of funds for training. Distribution of funds for Training shall be the responsibility of the Training Division. Funds as per the approved proposal shall

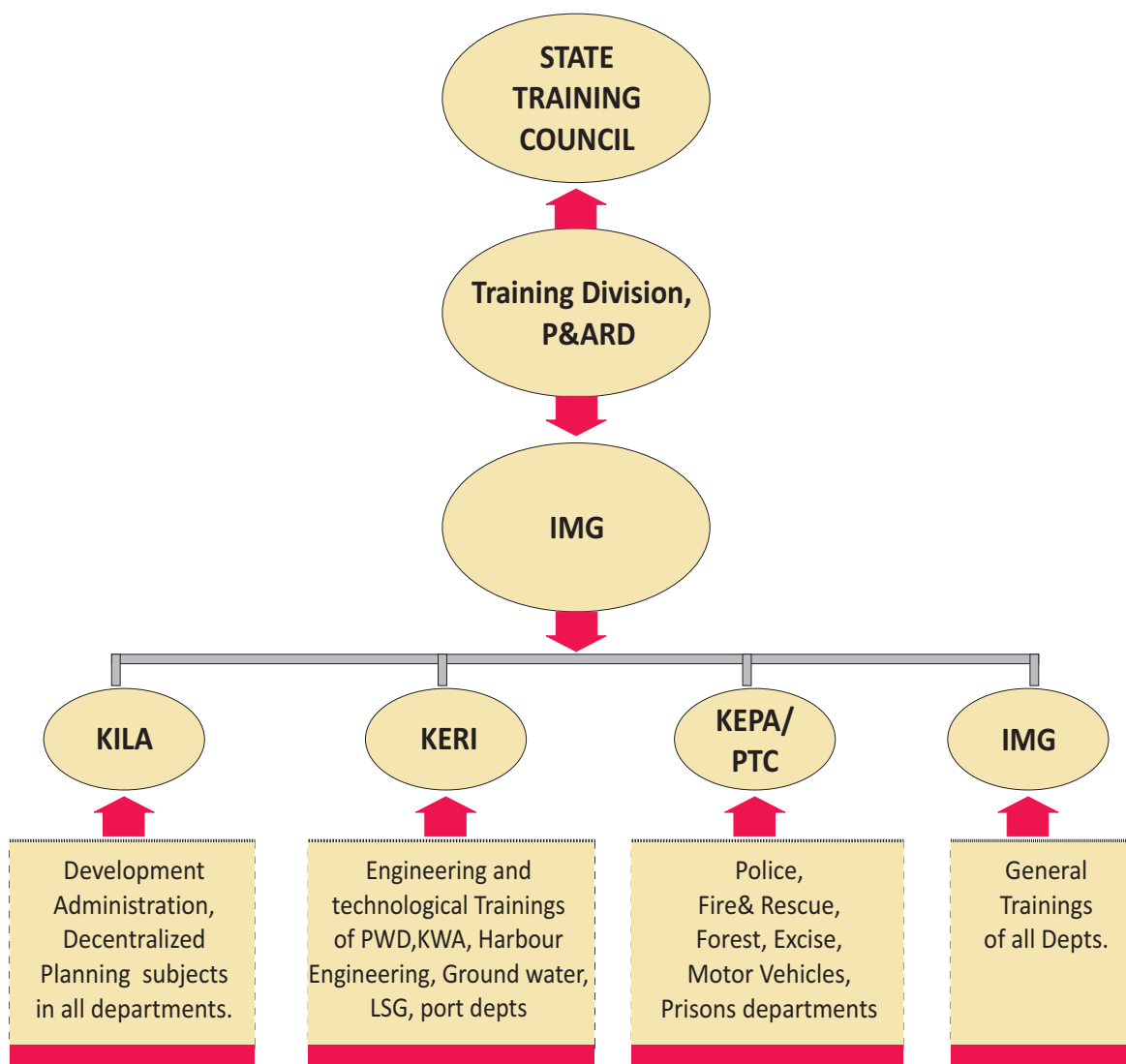
be distributed directly to departmental training institutions. There should not be any intermediary mechanism in fund flow to avoid delay.

## **7.8 Funds for Trainings:**

- 7.8.1 As per the present State Training Policy, 1% of the plan outlay is set apart for training. A Training Plan Approval Committee has also been envisaged therein. This Committee would consider proposals from departments and training institutions and approve them. To cater to the requirements of the proposed Capacity Development Framework ARC has suggested a new institutional mechanism in the previous paragraphs. The State Training Council in Government chaired by Chief Secretary with Secretary (Training) as convener and Secretary, Finance as member among others shall discuss and approve State Training Plan and budget proposals for training. Thus a separate Training Approval Committee is not needed.
- 7.8.2 1% of the total Plan outlay for the year 2018-19 comes to Rs. 372 Crores . This is sufficient for 2018-19. But requirement of funds will increase after roll out of ARC's recommendation for Capacity Development Framework. All employees shall be covered under this Framework. In that scenario 2% of the Plan Outlay will have to be set apart for training. Separate allocation for training need not be made for the departments. Budget allocation for Training shall be used exclusively for implementation of State Training Plan. However training component, if any, embedded in various Schemes, Projects and Programmes of departments may be utilized by the departments through their departmental training centers.
- 7.8.3 IMG in its role of coordination and monitoring of implementation of the State Training Plan shall, after discussions with HoDs and departmental training institutions draw up annual training plan for a particular year in the preceding year itself and scrutinize the same to ensure that the plan proposals are within the approved State Training Plan. IMG will consolidate all proposals and forward the same with appropriate recommendation and remarks to State Training Council in Government. After due discussions in STC, the budget proposal will form part of the annual budget for that particular year. The Commission suggests a separate head of account exclusively for training. Controlling Officer of that head of account shall be Secretary (Training) in P&AR Department. The Training Division under the Secretary (Training) will directly allocate the funds to the departmental training institutions. No intermediary institution is required in the line of fund flow. This mechanism will ensure uninterrupted conduct of training programmes in departmental training institutions and free the IMG from the mundane function of fund release and related management issues to concentrate more on academic matters.



7.8.4 Flow Chart of Institutional mechanism for implementing Capacity Development Framework:





## KERALA ADMINISTRATIVE SERVICE

8.1.1 Civil Service System is the backbone of the Administrative Machinery of a Country. A well-functioning Civil Service assists in policy formulation, effective service delivery, and responsible use of public resources. Rapid developments in technology and increasing focus on specialisation in every field, stresses the need for skilled and efficient personnel in civil service. Formation of Kerala Administrative Service (KAS) is a landmark in this direction.

8.1.2 Special Rules for KAS has been approved by Government. Persons recruited to KAS should have capability to take up responsibilities and face challenges of the present administrative environment. This brings us to importance of evolving an effective training system for KAS. In the Special Rules it is stipulated that a person appointed to KAS (Junior Time Scale) shall undergo training for a period of 18 months or such duration as may be prescribed by Government from time to time. The training will be partly or fully residential and at institutions and places as Government may decide from time to time. Not less than 15 days of training shall be in a premier National Institute specialising in development or planning and not less than 15 days in a premier national Institute of Management. IMG, Thiruvananthapuram is mandated to organize training of KAS officers. The manner of training will be as decided by the Government from time to time.

ARC is of the view that pattern of training for Indian Administrative Service may be adopted for training KAS Officers limiting the duration to 18 months, as follows:

1	Foundation Course	15 weeks
2	KAS Professional Course	15 weeks
3	Departmental/District Trainings, and Trainings at National Institutes	50 weeks
<b>Total</b>		<b>80 weeks</b>

### 8.2. Foundation Course

8.2.1 Foundation course should equip KAS officers, with skills, knowledge, and appropriate



attitude to shoulder responsibilities as middle level public administrators, inculcate greater co - ordination among departments building esprit- de corps and cultivate the spirit of co-operation and independence.

8.2.2 A course design conducive to overall personality development of KAS officers has to be drawn out and effectively put in practice by the IMG for the Foundation course.

8.2.3 Foundation course makes the transition from the academic world of college and university to the structured system of government. For most of the participants it will be their first introduction to government, governance and role of government. Course design should be a combination of academic, outdoor, extra-curricular and co – curricular activities. It should equip officer trainees with a core set of values, skills and knowledge that helps their transformation to efficient civil servants. It should also assist in developing personality traits and attitudes necessary for effective functioning.

8.2.4 **Following subject/areas may be included in the curriculum for the Foundation Course.**

- \* Public Administration
- \* Management and Behavioral Sciences
- \* Law
- \* Basic Economics for Administrators
- \* Political Concepts and Constitution of India
- \* Indian History with focus on Kerala History
- \* Information & Communication Technology
- \* Language

8.2.5 **Public Administration**

The Course will introduce Officer Trainees (OTs) to conceptual ideas in public administration, structure and role of government at various levels, important rules and regulations that govern public administration and challenges of public service delivery. It should contain theoretical constructs, evolution, public policy and governance challenges. Public service delivery and e-governance, Business Process Reengineering in government, success stories in administrative reforms at national/state level etc may be included.

8.2.6 **Economics**

Academic inputs shall include basic principles of functioning of market, Micro -macro-Economic concepts, International Trade and shall cover special features of Kerala/Indian Economy .

#### 8.2.7 Law

Trainees should be introduced to basic principles of Law, structure and hierarchy of courts, alternative dispute resolution mechanisms etc. Detailed introduction to Administration of Justice, Criminal law, Procedural law, welfare Legislations, Law of Torts and Law of Contracts etc may also be included.

#### 8.2.8 Management

The course should expose OTs to basic principles and practice of management and empower them with the knowledge and skill to analytically address issues of administration. The emphasis during the course should be on building broad foundation for general management concepts and skills across all key disciplines of management with a focus on their application in the field of administration. Wide coverage on the Principles of Management Organization, Organizational behavior, Human Resource Management in Government, Financial Management and Project Management are to be included.

#### 8.2.9 Political Concepts and Constitution of India

Course Structure should introduce OTs to the fundamental concepts of Political Science, Indian Constitution and how it relates to the working of an administrator. Concepts of Political Science, Modern Political Theory, Democracy, and contemporary politics shall form part of the curriculum.

#### 8.2.10 History and Culture of India, Kerala.

Academic Inputs are to be focused on Indian History, Kerala History and Culture and Indian States and culture and diversity/oneness. Along with basis of history such as definition, approach, methods etc evolution to modern state, Indian Nationalism, Freedom movement in India/Kerala, Economic history of India and Kerala, Political /administrative structure in Travancore, Cochin and Malabar shall be discussed.

#### 8.2.11 Information Technology

Information Technology revolutionized the world. Hands on experience on computers and exposure to latest developments in Information Technology / applications should be an area of major focus.

#### 8.2.12 Malayalam Language

Malayalam is the official language for administration in Kerala. A structured training module is to be framed in consultation with experts for training in Malayalam.

#### 8.2.13 Fitness Training

Foundation Course may be conducted as In-house Program and Yoga/physical training



may be given to OTs in the morning .This will enable strengthening of their mental /physical abilities.

### **8.3 Professional Training for KAS Officers.**

- 8.3.1 Remaining part of 18 months Induction Training may be utilized for Professional Training. OTs may be given inputs specific to their jobs which will help them deal with issues and equip them for assignments likely to be given during the initial period of service. The OTs should be exposed to the state specific laws, statutory rules and regulations, developmental initiatives, social interventions, cultural dimensions of state, welfare initiatives etc. Kerala Service Rules, Kerala State &Subordinate Service Rules, Kerala Civil Servants Conduct Rules, Kerala Civil Service (Classification, Control & Appeal) Rules, Laws on Revenue, Forest, Registration, Excise, Police, and Prisons etc shall be included. Kerala Secretariat Office manual, Manual of Office Procedure, District Office Manual, Vigilance Manual, and Government Secretariat Instructions, Rules of Business and all other relevant Manuals may be discussed.
- 8.3.2 Communication ability is essential for a successful administrator. Communication skills required for effective governance shall be imparted through Language Labs.
- 8.3.3 OTs may be exposed to major sectors such as Tourism, Agriculture, Industries, etc to update them on current trends.
- 8.3.4 Professional Training shall include study tour of moderate duration providing them opportunity to better understand the diverse nature of our state. The study tour may include visits to acquaint them with historically important places, Public /Private sector undertakings, , Non Governmental Organisations, local self government institutions and legislature etc.
- 8.3.5 IMG shall prepare a scheme of examination both for the Foundation and Professional Course.

### **8.4 Departmental Training to KAS Officers.**

- 8.4.1 KAS officers shall be trained in all administrative procedures connected with implementation of policies and schemes of government. Activities of the departments/agencies of governments including Public Sector Undertakings, autonomous bodies, societies, Missions, Tribunals, Ombudsman etc. should be included in District/field training as part of Professional Course.
- 8.4.2 District/Field training of KAS officers shall include the following departments/offices/institutions:
  - Revenue Department-

Familiarisation with administrative machinery and functions at village, Taluk, Sub

Division and District level including training with district collector.

- Secretariat - Familiarisation with Rules of Business of Government, Framing of policies, approval of plans/programmes/projects, legislative process, transaction of business in Secretariat departments etc.
- State Legislature – History of legislative bodies of Travancore, Cochin, Malabar – land mark legislations of Kerala Legislature, –Rules of procedure and conduct of Business of Kerala Legislature.
- Judiciary: Familiarize with functioning of Magistrate/Chief Judicial Magistrate/District courts including trial.
- District Police Chief / Police Stations – case diary, FIR, investigation, patrolling, traffic management. New approaches in law and order administration – Jana Mythri Police Stations, Student Police Corps etc.
- Local Self Government Department – familiarizing with Panchayath Raj Institutions including urban local bodies and their functions, Anganwadies, Gramasabha, Special Grama Sabha for specified Groups – Bud school –
- IT Department – IT Parks – State e-governance Mission – Familiarization with e - governance initiatives of Govt. including Akshaya etc.
- Registration Department- IG of Registration/District and sub Registrar offices.
- Agriculture Department- Directorates of Agriculture/Principal Agricultural Officer/Krishi Bhavan.
- Health Department – visit to General Hospital, Taluk Hospital, Community Health Centres, Primary Health Centres, DMO office etc –Food Safety Commissioner Office.
- - District Planning office –Familiarize with its functions.
- Attachment with social Justice/ Women & Child Development Department – Implementation of Welfare legislations-(for women, children, Senior citizens, mentally and physically disabled etc) – Management of welfare schemes/ institutions .
- Kudumbasree .
- State Election Commission.
- Scheduled Caste Development Department/District Offices- Scheduled Caste Plan, Special programmes/ projects/ Schemes etc.
- Commissionerate of Land Revenue
- Education Department



- Forest Department
- Scheduled Tribes Development Department – District Office, Tribal sub Plan, Integrated Tribal Development Project – familiarize with Tribal Clusters of colonies, Health centers in Tribal Colonies, Model Residential schools & Hostels.
- Industries Department – Directorates of Industries – District Industries Centre.
- Tourism Department – DTPC- Responsible Tourism
- Training with various Tribunals including Kerala Administrative Tribunal, Local Self Government Institutions Tribunal, Ombudsman For Local Self Government , Lok Ayukta etc.
- Public Sector Undertakings governed by statutes- KWA, KSEB, KSRTC, KSIDC, KFC, KINFRA, etc.

## 8.5 Training in Lead Institutes

8.5.1 OTs may be deputed for training in lead institutions for exposure to latest developments in public administration. ARC suggests the following institutions:

- 1) ICCG, Panchgani, Maharashtra:- Programs of ICCG in the field of ethics marked very effective and recognised world- wide. Inculcation of attitudinal change and positive values are the core strengths of ICCG.
- 2) CGG, Hyderabad:- Centre for Good Governance (CGG) is a premier institute that conducts programs in action research, provide professional advice, facilitate change management for various state governments and Government of India. CGG undertakes complex, multi-sectoral assignments in multiple sectors, which calls for innovative operational processes and approaches.
- 3) ASCI, Hyderabad. Administrative Staff College of India, Hyderabad has pioneered post experience management education in India. ASCI equips corporate managers, administrators, entrepreneurs and academicians with skills to synthesize managerial theory and practice; and respond to the ever-increasing complexity of managerial issues confronting government, industrial enterprises and non-government organisations.
- 4) KILA, Thrissur :- Kerala Institute of Local Administration is an autonomous training, research and consultancy organisation constituted under the Department of Local Self Government in 1990 and is modelled on the National Institute of Rural Development & Panchayati Raj (NIRD&PR). The main objective of the institute is strengthening decentralisation and local governance. KILA undertakes trainings, promote research and offer solutions for problems faced by local bodies in the program project implementation.

## RECOMMENDATIONS

- 9.1.1** It is the prime responsibility of the state to impart appropriate/adequate training to entrants into civil service to equip them for effective delivery of services and transform them as efficient civil servants. A new entrant to Government service should be made aware of the link her/his work has to the services rendered by the department and Government to people. It is of utmost importance that every civil servant should realize that they are to serve the people and not be their masters. With this perception, ARC recommends the following training design for civil servants.
- 9.2** Civil servants of Kerala shall be categorized into six levels;
- 9.2.1** Supporting Staff: Drivers, Office Attendants, Attenders, Lift operators, Sweepers and other similar employees.
- 9.2.2** Cutting Edge: Lower Division Clerk, Upper Division Clerk, Typists, Confidential Assistants, Village Assistants, Head Clerks, Village Officers, Village Extension Officers and similar positions.
- 9.2.3** Supervisory: Junior Superintendents, Deputy Tahsildars, Extension Officers in Rural Development Department, Assistant Section Officers, and similar positions.
- 9.2.4** Lower Management: Senior Superintendents, Section Officers, Block development officers, Sales Tax officers, Taluk Supply officers and equivalent posts.
- 9.2.5** Middle Management: Assistant Directors, Under Secretaries, Deputy Collectors, Deputy Directors, officers of KAS etc
- 9.2.6** Senior Management: Sr. KAS officers, Joint Directors, Additional Directors, Directors (Non.IAS), Deputy Secretaries, Joint Secretaries, Additional Secretaries, Special Secretaries (Non.IAS), and similar positions.



- 9.3 Induction Trainings and Phase Trainings discussed in chapter on Capacity Development Frame work shall be made mandatory for all civil servants. (Refer Chapter VII).**
- 9.3.1 Induction Trainings shall be mandatory and imparted prior to joining service. Government may, in consultation with Kerala Public Service Commission, evolve a mechanism for this purpose.**
- 9.4 Training shall be linked to Performance Appraisal. Performance Appraisal based on competencies will reveal training need of each individual civil servant and shall be used as a supporting document for Training Need Assessment (TNA). Those who fail to obtain an overall grade of 5 and above shall necessarily be imparted adequate training to acquire required competency. ARC recommends that comprehensive Rules should be framed for effective operationalisation of the performance appraisal system. (A draft Performance Appraisal Rules and model PAR form No. I & V thereon are attached (Annexure II). The Government, in accordance with the Competency Framework shall frame other required forms. (Refer Chapter III & IV)**
- 9.4.1 Online filing of PARs shall be facilitated to avoid delay in submission of PARs. (Refer Chapter IV)**
- 9.5 All employees shall be covered under the framework and two percent (2%) of plan outlay shall be set apart for training. Separate allocation for training shall not be made by the departments in their plan proposals. Funds allocated for training shall be utilized only for implementation of the State Training Plan. However training components and funds for it embedded in various schemes, projects and programmes of departments may be utilized by the departments through departmental training institutions. (Refer Chapter VII).**
- 9.6 The Commission recommends drawing up of Competency Frame work for each Department in the State. This could be used as a guideline for promotion of employees and for succession planning. Assessing current employees against a set of competencies will assist in identifying capability gaps in any organization. Competencies included in this report are only indicative. Government may, after deliberations with stake holders, finalise the list of competencies and prepare a competency dictionary. (Refer Chapter III).**
- 9.7 The Centre for Good Governance Kerala (CGG-K) shall be set up to achieve the objectives specified in chapter VI. CGG-K shall work as a think tank for Governance**



- reforms in the State. Kerala Development and Innovation Strategic Council (DISC-K) may be merged with/transformed to CGG -K or vice versa and function as a permanent system for Administrative Reforms. (Refer Chapter VI).
- 9.8 Considering the critical shortage of qualified faculty, virtual classrooms shall be set up at IMG and all district centers. There should be at least two to three virtual classrooms in each district. Necessary facilities for virtual classrooms can be arranged in DIETs and institutions of IHRD.
  - 9.9 It should be ensured that sufficient number of qualified trainers/ faculty is available with IMG and other training institutions.
  - 9.10 ARC recommends formation of a Training Division in the State, similar to Department of Personnel and Training (DoPT) of Government of India, to implement, coordinate, monitor and handhold STP and streamlining of capacity development initiatives. Training Division in P&AR Department will act as the Secretariat of the State Training Council (Refer Chapter VII).
  - 9.11 Government shall promote civil service values and ethics in employees enabling them to be competent and loyal and render their service with care, diligence, responsibility, integrity, honesty, objectivity and impartiality, without discrimination. To achieve this Government shall prepare Civil Service Code of Ethics for guiding the civil servants (Refer chapter V).
  - 9.12 All new entrants to Government Service shall take an oath of allegiance to Constitution of India. They may also profess allegiance to the Code of Ethics and other laws in force in the prescribed form. The oath/affirmation shall be made in Malayalam/English (Refer Chapter V).
  - 9.13 A network of Training Institutions (TIs) as shown in the diagram in Chapter VII shall be put in place as a prerequisite for successful implementation of Capacity Development Framework. The network shall be managed by IMG in liaison with the heads of Training Institutions. Infrastructure available with various TIs can be shared locally.
  - 9.14 Institute of Management in Government has dual role as an Apex Training Institute and as a Lead Training Institution (LTI). Therefore, Commission recommends restructuring of IMG enabling it to handhold and lead all the other LTIs and other departmental training institutes through a network. (Refer Chapter VII).
  - 9.15 Common web portal shall be developed exclusively for training, wherein all training materials including curriculum, training calendar, details of training institutes, infrastructure facilities, faculty etc shall be provided. Database of civil servants in



various departments who attended different training programmes and the topics covered in each programme shall also be maintained. This data and the web portal shall be managed by the proposed Training Division in Government P&AR Department.

- 9.16** The formation of KAS is a landmark change that could bring a paradigm shift in the administrative system of Kerala. Officers recruited to KAS should be capable to meet the new challenges of the present administrative environment. KAS officers should be given sufficient opportunities for capacity development through intensive training in various disciplines. Commission recommends that the pattern of training of IAS officers shall be adopted for training KAS officers. (Refer Chapter VIII)
- 9.17 Other Recommendations**
- 9.17.1** A resource pool of subject experts in various fields viz Management, Service Rules, Finance & Budget, Public Administration, Project Appraisal, Law, Engineering / Technology, Information Technology etc. shall be created in the apex training institutions through a transparent selection process. Every training institution under State Training Council shall hire faculty from the resource pool according to requirement.
- 9.17.2** Quality of training can be ensured only through competent faculty who have required domain knowledge selected through a transparent process. They shall be incentivised on a par with those in premier institutions in the country.
- 9.17.3** Remuneration of guest/floating faculty at various Training Institutions is at varying levels. There should be a unified rate per session across training institutions in Kerala. At the same time, guest faculties from prominent National or International Institutions shall be paid as per requirement.
- 9.17.4** There shall be co-ordination in deputing officers of various departments for training courses in institutions outside Kerala. Deputation for such trainings may be coordinated by Training Division in P&AR Department in consultation with Heads of concerned departments. Any training course outside the purview of Induction and Phase Trainings shall be with prior approval of Training Division in P&AR Department. Expenses in this connection shall also be met by State Training Council from the proposed Training Fund of the State.
- 9.17.5** Proposed Training Division of P&AR Department shall draw up an exchange programme of trainees and trainers among select prominent Training Institutions in India.

- 9.17.6 Training is an obligation of Government to its employees and at the same time deemed as a right of the employee. Accommodation, TA and DA as per entitlement should be given to trainees from the respective training institution itself. Facilities including class rooms, computer labs, hostels, and dining facility etc in TIs should be developed to provide a congenial atmosphere.
- 9.17.7 All departments should form five member Training Cells headed by HoD with a middle management level officer as Training Manager. One faculty from IMG may be nominated to this departmental Training Cell. It should prepare the draft Training Calendar and training budget proposals for the next year. Tentative list of prospective trainees will also be prepared. Draft Training Calendar, budget proposal and prospective trainee list are to be submitted to IMG for consolidation and onward transmission to Training Division in P&AR Department.
- 9.17.8 There is critical need for preparing modules of training in line with that of IGNOU courses. This shall be made available to civil servants in Kerala through the dedicated website created exclusively for Capacity Development framework.
- 9.17.9 IMG shall also explore the possibility of starting Online Certificate / Diploma courses in association with IGNOU and universities in Kerala. MA Development Administration course of Mumbai University imparted to officers of Class B and above in Maharashtra State, through YASHADA is a replicable model.
- 9.17.10. Infrastructure and ambience of training institutions are critical in adding value to the training by the institution. IMG has several limitations in this regard. ARC recommends that a new campus shall be developed for IMG, in Thiruvananthapuram ,with sufficient land and other facilities and elevate it to the level of an apex training institution as intended.



**TRAINING INSTITUTIONS IN GOVERNMENT SECTOR IN KERALA.**

**Table I- Training Institutes.**

Sl.No	Name & Address of Institution	Department
1.	Institute of Management In Government(IMG),Vikas Bhavan P.O, Thiruvananthapuram,Pin-695033	Personnel And Administrative Reforms Department
2.	Institute of Management in Government(IMG), Kozhikode	do -
3.	Institute of Management In Government(IMG), Kochi	do -
4.	Kerala Institute of Local Administration(KILA), Mulankunnathukavu P.O., Thrissur, Pin-680581	Local Self Government Department
5.	KILA Human Resource Development Centre, Kottarakara .	do -
6.	KILA Centre for Socio Economic Development, Kottarakkara Campus-2	do -
7.	KILA Centre for Good Governance, Mannuthy, Thrissur	do -
8.	Kerala Institute of Local Administration(KILA), Agali, Palakkad	do -
9.	KILA Centre for Organic Farming and Waste Management, Thaliparambu, Kannur	do -
10.	Institute Land and Disaster Management (ILDm), PTP Nagar , Thiruvananthapuram.	Land Revenue Department
11.	Centre for Management Development (CMD), Thycaud, Thiruvananthapuram	Industries Department
12.	Kerala Institute of Labour and Employment (KILE), Vikas Bhavan P.O Thiruvananthapuram.	Labour and Skill Department
13.	Police Training College, Thycaud P.O. Thiruvananthapuram	Police Department
14.	Kerala Police Academy(KEPA), Ramavarmapuram, Thrissur	Police Department



15.	Kerala Fire & Rescue Services Academy, (KFRA), Viyyur Engineering College P.O, Thrissur	Fire and Rescue Department
16.	Kerala Engineering Research Institute (KERI), Peechi, Thrissur.	Water Resources Department
17.	Indian Institute of Information Technology and Management-Kerala (IIITM-K), Technopark Campus, Thiruvananthapuram.	Information Technology Department
18.	State Council of Educational Research & Training (SCERT), Poojapura, Thiruvananthapuram	Education Department
19.	Kerala State Institute of Health & Family Welfare (KSIHFW), Thycaud, Thiruvananthapuram	Health & Family Welfare Department
20.	Live Stock Management Training Centre, Kudappanakunnu P.O, Thiruvananthapuram.	Animal Husbandry Department
21.	Live Stock Management Training Centre, Kottiyam, Kollam.	do
22.	Live Stock Management Training Centre, Aluva, Ernakulam	do
23.	Live Stock Management Training Centre, Malampuzha, Palakkad	do
24.	Live Stock Management Training Centre, Thalayolaparambu, Kottayam	do
25.	Regional Agricultural Technology Training Centre (RATTC),Kazhakoottam. Thiruvananthapuram	Agriculture Department
26.	Regional Agricultural Technology Training Centre (RATTC), Kozha, Kottayam	do
27.	Regional Agricultural Technology Training Centre (RATTC), vyttilla, Ernakulam	do
28.	Regional Agricultural Technology Training Centre (RATTC), Malampuzha, Palakkad	do
29.	Regional Agricultural Technology Training Centre (RATTC), Thaliparambu, Kannur	do

30.	Research Testing & Training Centre, Vellayani, Thiruvananthapuram	do
31.	Pre- Examination Training Centre , Mannanthala, Thiruvananthapuram	Scheduled Caste Development Department
32.	Pre- Examination Training Centre, Ernakulum	do
33.	Pre- Examination Training Centre, Cherooty, Kozhikkode.	do
34.	Kerala Forest Training Centre , Aripa, Chozhiyakode P.O, Kollam	Forest Department
35.	Forestry Training Institute, Aripa, Kollam	do
36.	State Forest Training Institute, Walayar, Palakkad	do
37.	Forest Institute of Human Resource Development, PTP Nagar, Thiruvananthapuram	do
38.	Institute of Co-operative Management(ICM), Poojappura, Thiruvananthapuram	*An institution under Government of India
39.	Institute of Co-operative Management(ICM), Parassinikadavu, Kannur	do
40.	Agricultural Co-operative Training Institute (ACSTI), Manvila, Thiruvananthapuram	Agriculture Department
41.	Power Engineers Training & Research Centre (PETARC), Moolamattam, Idukki.	KSEB Ltd
42.	State Academy on Statistical Administration (SASA), Pappanamcode P.O, Thiruvananthapuram	Statistics Department
43.	State Institute of Correctional Administration (SICA), Poojappura, Thiruvananthapuram	Prisons Department
44.	State Institute of Correctional Administration Extension Centre (SICA), Viyyur , Thrissur	do
45.	State Institute of Correctional Administration Extension Centre (SICA), Kannur	do
46.	State Agricultural Management & Extension Training Institute (SAMETI), Venpalavattom, Thiruvananthapuram	Agriculture Department



47.	State Watershed Development & Management Training Centre, Chadayamangalam, Kollam	Soil Conservation Department
48.	Centre for Training in Financial Management (CTFM), DPC Building, Kerala University Office Campus Palayam, Thiruvananthapuram	Finance Department
49.	UGC Academic Staff College, Kerala University Campus, Karyavattom, Thiruvananthapuram	Kerala University
50.	State Excise Academy & Research Centre, Poonthol P.O, Thrissur	Excise Department
51.	Health & Family Welfare Training Centre, Malaparambu, Kozhikode	Health & Family Welfare Department
52.	Kerala Institute of Entrepreneurship Development (KIED), Kalamassery, Kochi	Industries Department
53.	Staff Training Centre, Edappal, Malappuram	KSRTC
54.	Staff Training Centre, Attakulangara, Thiruvananthapuram	do
55.	Staff Training Centre, Angamaly, Ernakulam.	do
56.	Centre for Water Education, Vellayambalam, Thiruvananthapuram	Kerala Water Authority
57.	National Institute of Fisheries Administration & Management, Kadungalore, Aluva	Fisheries Department
58.	BSNL Regional Training Centre, Thiruvananthapuram	*Institution under Government of India
59.	State Institute of Educational Management & Training (SEMAT), East Fort, Thiruvananthapuram	Education Department
60.	District Institute of Education and Training (DIET), Thiruvananthapuram	do
61.	District Institute of Education and Training, (DIET), Kollam	do
62.	District Institute of Education and Training(DIET), Pathanamthitta	do



63.	District Institute Education and Training (DIET), Alappuzha	do
64.	District Institute of Education and Training (DIET) Kottayam	do
65.	District Institute of Education and Training(DIET), Idukki	do
66.	District Institute of Education and Training(DIET), Ernakulum	do
67.	District Institute of Education and Training(DIET), Thrissur	do
68.	District Institute of Education and Training(DIET), Palakkad	do
69.	District Institute of Education and Training(DIET), Kozhikode	do
70.	District Institute of Education and Training(DIET), Malappuram	do
71.	District Institute of Education and Training(DIET), Kannur	do
72.	District Institute of Education and Training(DIET), Kasaragod	do
73.	District Institute of Education and Training(DIET), Wayanad	do
74.	Kerala Maritime Institute, Neendakara, Kollam	Port Department
75.	Kerala Maritime Institute, Kodungallore, Thrissur	do
76.	Co-operative Training Centre, Kowdiar, Thiruvananthapuram	Co-operative Department
77.	Kerala Highway Research Institute, Karyavattom, Thiruvananthapuram	Public Work Department
78.	Centre for Excellence in Administrative Training, Government Secretariat	General Administration Department
79.	JPH Training School, Ernakulam	Health Department



**Table II-Academic/Research Institutes.**

Sl No.	Name of the Institution
1	Institute of Human Resource Development (IHRD)
2	LBS Centre for Science and Technology
3	Kerala Forest Research Institute (KFRI)
4	Kerala State Nirmithi Kendra
5	Centre for Development Studies (CDS)
6	National Transportation Planning and Research Centre(NATPAC)
7	Kerala Rural Water supply and Sanitation Agency( KRWSSA)
8	Centre for Water Resources Development and Management (CWRDM)
9	Model Finishing School
10	Gulati Institute of Finance and Taxation (GIFT)
11	Kerala Institute for Research Training and Development Studies (KIRTADS)
12	University Department of Public Administration – Kerala, Mahatma Gandhi , Calicut & Kannur Universities.
13	Indian Institute of Management, Kozhikode (IIM-K)
14	Kerala Development and Innovation Strategic Council (DISC-K)

## THE KERALA CIVIL SERVANTS (PERFORMANCE APPRAISAL REPORT) RULES, 2018

In exercise of the powers conferred by section 2 of the Kerala Public Services Act, 1968, (Act 19 of 1968), and in supersession of the existing orders, the State Government, hereby makes the following Rules, namely: -

1. Short title, commencement and application. - (1) These rules may be called the Kerala Civil Servants (Performance Appraisal Report) Rules, 2018
  - (2) They shall come into force on the date of their publication in the Official Gazette.
  - (3) It extends to all civil servants in the State of Kerala.
2. Definitions. - In these rules, unless the context otherwise requires;-
  - (a) "Accepting authority" means the authority which supervises the performance of the reviewing authority as may be specifically empowered in this behalf by the Government;
  - (b) "Bench mark score" shall mean the minimum numerical score arrived at for overall grading above which an officer shall be regarded as fit for promotion, as the case may be, to the next higher grade or training;
  - (c) "Government" means, -
 

In the case of a member of the Service serving in connection with the affairs of Kerala State, or who is deputed for service in any body corporate, which is wholly or substantially owned or controlled by the Government of Kerala, or in a local authority set up by an Act of the Legislature of Kerala State;
  - (d) "Member of the Service" means a government servant;
  - (e) "Performance Appraisal Report" means the performance appraisal report referred to in rules 4 and 5;
  - (f) "Performance Appraisal Dossier" means the compilation of the performance appraisal reports written on a member of the Service, referred to in rule 3, and includes such other documents as may be specified by the State Government, by general or special order, in this behalf;
  - (g) "Promotion" means promotion as defined in the Kerala State & Subordinate Service Rules, 1958.
  - (h) "Referral Board" means a board consisting of officers of the Service designated by the State Government for settling dispute on Performance Appraisal Report (PAR).



- (i) "Reporting Authority" means such authority or authorities supervising the performance of the member of the Service reported upon as may be specifically empowered in this behalf by the Government;
  - (j) "Reviewing Authority" means such authority or authorities supervising the performance of the reporting authority as may be specifically empowered in this behalf by the Government;
  - (k) "Schedule" means the Schedule annexed to these rules;
3. Maintenance and custody of performance appraisal dossier. - A comprehensive performance appraisal dossier shall be maintained for each member of the Service by the State Government in the manner specified under these rules and the performance appraisal dossier shall consist of the documents specified in Schedule I.
4. Form of the Performance Appraisal Report. - (1) The reporting authority shall write the performance appraisal report in such form as may be specified in Schedule II and the officer reported upon and the reporting, reviewing and accepting authority shall ensure that the portions of the forms which are to be filled in by them are completed by them within the time limit :
- Provided that the State Government may make such additions in the form or the cut-off dates so specified as may be considered necessary or desirable.
- Provided also that the performance appraisal report shall also be written for members of Service who are on training or study leave in such form as may be specified.
5. Performance Appraisal Reports. -
- (1) Performance Appraisal Report assessing the competency and performance of every member of the Service shall be written for each year or as may be specified by the Government:
- Provided that if a performance appraisal report for a year is not recorded by within the time specified by the government, no remarks may be recorded thereafter and the officer may be assessed on the basis of the overall record and self assessment for the year, if he has submitted his self-assessment on time.
- (2) Subject to the provisions of sub-rule (4), performance appraisal report shall also be written when either the reporting or reviewing authority or the member of the Service reported upon relinquishes charge of the post, and, in such a case, it shall be written at the time of the relinquishment or ordinarily within one month of such relinquishment.
- (3) Where more than one performance appraisal report is written on a member of the Service during the course of a year each such report shall indicate the period to which it pertains:

Provided that only one report shall be written on a member of the Service for a particular period during the course of an year and there shall be a single reporting, reviewing and accepting authority at each level of assessment which shall be specified in the channel for writing performance appraisal reports by the concerned and in no circumstances more than one person shall write the performance appraisal reports in the capacity of reporting, reviewing or accepting authority for a given period of time:

- (4) Where the reporting authority has not seen, but the reviewing authority has seen the performance of a member of the Service for at least forty five days during the period for which the performance appraisal report is to be written the reviewing authority shall write the performance appraisal report of any such member for any such period.
- (5) Where, both the reporting authority and the reviewing authority have not seen and the accepting authority has seen, as referred to in sub-rule (4), the performance of any such member, the accepting authority shall write the performance appraisal of any such member during such period.
- (6) Where the reporting authority, the reviewing authority and the accepting authority have not seen the performance of a member of the Service for at least forty five days during the period for which the report is to be written, the Government shall make an entry to that effect in the Performance Appraisal Report for any such period after obtaining a submission to that effect from the officer reported upon. This is also applicable to the members of service who are availing leave. In such cases leave sanctioning order shall also be attached.
- (7) Notwithstanding anything contained in sub-rules (1), (2), (4) and (5), it shall not be competent for the reporting authority, the reviewing authority or the accepting authority to write a performance appraisal report where the authority reporting the performance is a government servant, after one month of his retirement from service; and in other cases, after one month of the date on which he demits the office.

#### Explanation-I

For the purposes of this rule, “a Minister” shall not be construed as having demitted the office if he continues to be a Minister in the Council of Ministers with a different portfolio or in the Council of Ministers immediately reconstituted after the previous Council of Ministers of which he was a Minister with the same or a different portfolio provided the Chief Minister, as the case may be, continues in office.

#### Explanation-II

A Minister shall be deemed to have demitted the office where pursuant to fresh elections, a new Council of Ministers has been reconstituted, even if the Minister who was in the



earlier Council of Ministers finds a place in the new Council of Ministers with the same or different portfolio.

6. Review of the performance appraisal report. - (1) Reviewing Authority shall record his remarks on the performance appraisal report, within the timeframe specified.
- (2) Where the report is written by the reviewing authority under sub-rule (4) of rule 5, or where the reviewing authority has not seen, and the accepting authority has seen, the performance of a member of the Service for at least forty five days during the period for which the performance appraisal report is written, the accepting authority shall review the performance appraisal report of any such member for any such period within the timeframe specified.
- (3) It shall not be competent for the reviewing authority, or the accepting authority, to review any such performance appraisal report unless it has seen the performance of the member of the Service for at least forty five days during the period for which the report has been written, and in every such case an entry to that effect shall be made in the performance appraisal report.
- (4) Notwithstanding anything contained in sub-rules (1) and (2), it shall not be competent for the reviewing authority or the accepting authority to review any such performance appraisal report;
  - (a) Where the authority reviewing the performance appraisal report is a Government servant, after onemonth of his retirement from service, and
  - (b) In other cases, after one month of the date on which he demits office.

7. Acceptance of the Performance Appraisal Report.

- (1) The accepting authority shall within the timeframe specified, record his remarks on the performance appraisal report and may accept it, with such modifications as may be considered necessary, and countersign the report:

Provided that where the accepting authority has not seen the performance of any member of the Service for at least forty five days during the period for which the performance appraisal report has been written, it shall not be necessary for the accepting authority to accept any such report and an entry to this effect shall be made in the performance appraisal report.

- (2) Notwithstanding anything contained in sub-rule (1), it shall not be competent for the accepting authority to accept and countersign any such performance report;
  - (a) Where the accepting authority is a Government servant, after one month of his retirement from service, and
  - (b) In other cases, one month after the date on which he demits the office.

- (3) When the performance appraisal report is not written or revised. - Notwithstanding anything contained in rule 5 or rule 6, where the accepting authority writes or reviews the performance appraisal report of any member of the Service, it shall not be necessary to review or accept any such report.
8. Disclosure of performance appraisal report to the officer reported upon and procedure for representation to the Referral Board. -
  - (1) Annual performance appraisal report shall be disclosed to the officer reported upon after finalization by the accepting authority to enable the officer reported upon to represent her/his case.
  - (2) The officer reported upon may have the option to give her/his comments on the performance appraisal report in writing to the accepting authority within thirty days of the receipt of the Performance Appraisal Report.
  - (3) The comments shall be restricted to the specific factual observations contained in the Performance Appraisal Report leading to the assessment of the officer in terms of competency.
  - (4) The accepting authority shall within fifteen days of receipt of comments from the officer reported upon forward the same to the reviewing and the reporting authority and call for their views on the comments.
  - (5) The reporting authority shall, within fifteen days of receipt of comments from the officer reported upon forward her/his own views on the comments to the reviewing authority failing which it shall be presumed that she/he has no views thereon.
  - (6) The reviewing authority shall forward the comments of the officer reported upon along with the views of the reporting authority and her/his own views to the accepting authority within fifteen days of receipt of the views of the reporting authority.
  - (7) The accepting authority shall consider the comments of the officer reported upon, the views of the reporting authority and the reviewing authority and after due consideration may accept them and modify the performance appraisal report accordingly and the decision and final grading shall be communicated to the officer reported upon within fifteen days of receipt of the views of the reviewing authority.
  - (8)
    - (a) In case the officer reported upon chooses to represent against the final assessment conveyed to him according to this procedure, she/he may represent her/his case through the accepting authority for a decision by the Referral Board, within one month, provided that such representation shall be confined to errors of facts.
    - (b) The representation of the officer reported upon along with the views of the reporting



authority, the reviewing authority and the accepting authority shall be forwarded to the Referral Board within a period of fifteen days of receipt of communication.

- (9) (a) The Referral Board shall consider the representation of the officer reported upon in the light of the comments of the reporting authority, the reviewing authority and the accepting authority and confirm or modify the performance appraisal report, including the overall grade. The decision of the Referral Board shall be confined only to errors of facts and the decision shall be final.  
(b) In case an entry or assessment is upgraded or downgraded, reasons for the same shall be recorded in the performance appraisal report.
- (10) The entire performance appraisal report, including the overall grade, shall thereafter be communicated to the officer reported upon which shall conclude the process of assessment and no further representation of any kind shall be entertained thereafter.
9. Appeal against assessment. - Nothing in these rules shall be deemed to preclude an officer from making an appeal to the Government on the Performance Appraisal Report.
10. General. - The State Government may issue instructions, not inconsistent with the provisions of these rules, or as it may consider necessary, with regard to the writing of the performance appraisal reports, the maintenance of the performance appraisal dossier and the effect of the performance appraisal reports on the conditions of service of a member of the Service.

### SCHEDULE I

Documents to be maintained in the Performance Appraisal Dossier

- (i) Curriculum Vitae to be updated annually on the basis of the performance appraisal report(s) submitted by the officer reported upon.
- (ii) Performance Appraisal Reports earned throughout the career.
- (iii) Certificates of training, academic courses attended after joining service, study leave.
- (iv) Details of books, articles and other publications.
- (v) Appreciation letters from Government Secretary or Head of Department /office or special bodies or commissions or other competent authorities.
- (vi) Copy of order imposing any of the penalties specified in the Kerala Civil Services (Classification, Control & Appeal) Rules, 1960 and final result of inquiry into allegations and charges against a member of the Service.



## SCHEDULE II

List of Appendices containing Forms for Performance Appraisal Report

### Form I Senior Management level:

Form for Senior KAS officers, Joint Directors, Additional Directors, Directors, Deputy Secretaries, Joint Secretaries, Additional Secretaries, Special Secretaries and equivalent positions (Non IAS).

### Form II Middle Management level:

Form for Assistant Directors, Under Secretaries, Deputy Collectors, Deputy Directors, and Officers of KAS etc.

### Form III Lower Management level:

Form for Senior Superintendants, Section Officers, Block Development Officers, Sales Tax Officers, Taluk Supply Officers and equivalent positions.

### Form IV Supervisory level:

Form for Junior Superintendants, Deputy Tahsildars, Extension Officers in Rural Development Department, Assistant Section Officers, and equivalent positions.

### Form V Cutting Edge level:

Form for operatives at the cutting edge level, like, Lower Division Clerk, Upper Division Clerk, Village Assistants, Village Officers, Typists, Confidential Assistants, Head Clerks and equivalent positions.

### Form VI Supporting Staff level:

Functionaries, such as Office Attendants, Attenders, Lift Operators, Sweepers, Drivers and other equivalent employees.

## Appendix I

Form I

[See rule 4]

## The Kerala Civil Servants (Performance Appraisal Report) Rules, 2018

(Applicable for Senior Management level: Sr. KAS officers, Joint Directors, Additional Directors, Directors (Non.IAS), Deputy Secretaries, Joint Secretaries, Additional Secretaries, Special Secretaries (Non.IAS), and equivalent positions )



Performance Appraisal Report for the period from \_\_\_\_\_ to \_\_\_\_\_

### Section I- Basic Information

1. Name of the Officer reported upon : \_\_\_\_\_

2. Department : \_\_\_\_\_

3. Date of Appointment : \_\_\_\_\_ 4. Date of Birth: \_\_\_\_\_

5. Present Grade : \_\_\_\_\_ 6. Present Post: \_\_\_\_\_

7. Date of Appointment to Present Post : \_\_\_\_\_

8. Reporting, Reviewing and Accepting Authorities

	Name & Designation	Period
Reporting Authority		
Reviewing Authority		
Accepting Authority		

9. Period of absence on leave, etc

	Period	Type	Remarks
On Leave ( Specify type)			
Others ( Specify)			

10. Training Programs attended

Date from	Date to	Institute	Subject

11. Awards/ Honours/Good Service Entry


## Section II – Self Appraisal

1. Brief description of duties:

*(Objectives of the position you hold and the tasks you are required to perform, in about 100 words)*

2. During the period under report, do you believe that you have made any exceptional contribution, e.g. successful completion of an extraordinarily challenging task or major systemic improvement (resulting in significant benefits to the public and/or reduction in time and costs) If so, please give a verbal description (within 100 words):



3. What are the factors that hindered your performance?

4. Please indicate specific areas in which you feel the need to upgrade your skills through training programs:

For the current assignment:

For your future career

Please Note:

You should send an updated CV, including additional qualifications acquired/training programs attended/ publications/ special assignments undertaken.

Date:

Signature of officer reported upon \_\_\_\_\_

### Section III- Appraisal.

1. Please state whether you agree with the responses relating to the accomplishments of the work plan and unforeseen tasks as filled out in Section II. If not, please explain.

2. Please comment on the claim (if made) of exceptional contribution by the officer reported upon.

3. Has the officer reported upon met with any significant failures in respect of his work? If yes, please explain.

4. Do you agree with the skill up-gradation needs as suggested by the officer?

5. Assessment of competency and performance (on a scale of 1-10).

(This assessment should rate the officer viz his peers and not the general population. Grades should be assigned on a scale of 1-10, in whole numbers, with 1 referring to the lowest grade and 10 to the best grade. Bench mark score will be 5).

Sl No.	Competency	Reporting Authority	Reviewing Authority	Initials of Reviewing
1.	People First			
2.	Strategic Direction			
3.	Empathy			
4.	Problem solving			
5	Ability to face Challenges			
6	Team work			



7.	Leadership			
8.	Communication skill			
9.	Decision making			
10.	Analytical Thinking			
11.	Management of Time & resources			
12.	Ability to work under pressure			
13.	Exercising Delegation			
14.	Goal setting			
15.	Ability of Planning			
16.	Staff motivation			
17.	Leading by example			
18.	Ensuring meeting of deadlines			
19.	Coaching			
	Overall Grading (Average)			

Note:

Competencies mentioned above have the same meaning as in the Competency Framework.

- Pen picture by Reporting Officer. Please comment (in about 100 words) on the overall qualities of the officer including areas of strengths and lesser strengths and his attitude.

- \* Overall grade (on a score of 1-10)-----
- \* Whether the Officer reported upon needs training to improve his competency and performance? Specify.
- \* Punishment awarded to the Officer, if any.

7. Integrity: Please comment on the integrity of the officer.

Signature of Reporting Authority \_\_\_\_\_

Date:

#### Section IV – Review

(In case you do not agree with any of the numerical assessments of attributes please record your assessments in the column provided for you in that section and initial your entries).

1. In case of difference of opinion details and reasons for the same may be given.

2. Comments, if any, on the pen picture written by the Reporting Authority.

3. Overall grade on a scale of 1-10 -----

Date:

Signature of Reviewing Authority \_\_\_\_\_



### Section V- Accept

1. Do you agree with the remarks of the reporting / reviewing authorities?

Yes	No
-----	----

2. In case of difference of opinion details and reasons for the same may be given.

--

3. Overall grade (on a score of 1-10)

--

Date:

Signature of Accepting Authority\_\_\_\_\_

#### General guidelines for filling up the PAR form

1. The Performance Appraisal Report is an important document. It provides the basic and vital inputs for further development of an officer. The officer reported upon, the Reporting Authority, Reviewing Authority and the Accepting Authority should therefore; undertake the duty of filling up the form with a high sense of responsibility.
2. 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 to her/ his true potential. It is not meant to be a fault finding process but a developmental tool. The Reporting Authority, the Reviewing Authority and the Accepting Authority should not shy away from reporting shortcomings in performance, attitudes or overall personality of the officer reported upon.
3. The columns should be filled with due care and attention and after devoting adequate time. Any attempt to fill the report in a casual or superficial manner will be easily discernible to the higher authorities.
4. Documentation of performance appraisal is a year-end exercise. It is a tool for human



resource development, career planning and training. Reporting Authority and the officer reported upon should meet during the course of the year at regular intervals to review the performance and to take necessary corrective steps.

5. Finally, the reporting authority is required to record an overall grade. This should also be done on a scale of 1-10, with 1 referring to the lowest grade and 10 to the highest. The performance of the officer shall be assessed on the basis of the Overall Grade in the PAR. The overall grading shall be assessed as follows:

Overall Grade	Meaning
1,2	Poor
3,4	Below Average
5	Average (Bench Mark Score)
6,7,8	Good
9,10	Outstanding

6. Numerical Grades: At several places, numerical grades are to be awarded by reporting and review authorities. These should be on a scale of 1-10, where 1 refers to the lowest grade and 10 to the highest. 5 denotes the Benchmark Score. It is expected that any grading of 1 or 2 (against work output or attributes or overall grade) would be adequately justified in the pen-picture by way of specific failures and similarly, any grade of 9 or 10 would be justified with respect to specific accomplishments. Grades of 1-2 or 9-10 are expected to be rare occurrences and hence the need to justify them. In awarding a numerical grade the reporting, reviewing and accepting authorities should rate the officer against a larger population of her/his peers that may be currently working under them or would have worked under them in the past.
7. Disclosure: There should be more openness in the system of appraisal. The annual PAR, including the overall grade and integrity, should be communicated to the officer reported upon, in writing, after it has been finalized by the accepting authority.
8. Representation: The officer reported upon may have the option to give his comments on the PAR. Such comments may be restricted to the specific factual observations contained in the Performance Appraisal Report leading to the assessment of the officer in terms of attributes, competency and output. If comments are submitted, the Reporting/Reviewing/Accepting Authority would have the option to accept them and modify the PAR accordingly. If the comments are not accepted, the views of the Reporting/Reviewing/Accepting Authority would be communicated with reasons to the officer reported upon. Thereafter, only if the officer reported upon so desires, he may request for the matter to be forwarded to the Referral Board. The representation shall be confined to errors of facts and nothing else. The Referral Board shall give clear findings on



the representation and take a final decision on the assessment, including the overall grading in regard to the parameters affected thereby. The decision along with details in case an entry is upgraded or downgraded with, reasons for same may be recorded in the PAR and the same communicated, in writing, to the officer reported upon. The decision of the Referral Board shall be final.

9. Schedule for completion of PARs:

**Reporting Year – 1st January to 31st December**

Activity	Cut-off dates
Blank PAR form to be given to the officer reported upon	
by the Administrative Department / Establishment Wing/	
PAR Cell specifying the reporting officer and reviewing	
and Accepting authority	
Self appraisal for current year	
Appraisal by reporting authority	
Appraisal by reviewing authority	
Appraisal by accepting authority -	
Disclosure to the officer reported upon	
Comments of the officer reported upon, if any	
Forwarding of comments of the officer reported upon to	
the reviewing and the reporting authority by the	
accepting authority, in case the officer reported upon	
makes comments	
Comments of reporting authority	
Comments of reviewing authority	
Comments of accepting authority/PAR to be finalized and	
disclosed to the officer reported upon.	
Representation to the Referral Board by the officer	
reported upon	
Forwarding of representation to the Referral Board along	
with the comments of reporting authority/	
reviewing authority and accepting authority	
Finalisation by Referral Board if the officer reported upon	
represents against the decision of the Accepting Authority-	
Disclosure to the officer reported upon	
End of entire PAR Process	

*Note: Cut off dates may be suitably fixed by Government.*

## Centre for Good Governance – Kerala Society Bye-Laws 2018-Draft

### Chapter-I

#### Preliminary

1. **Short title:-** These Bye-Laws may be called as the “Bye Laws of Centre for Good Governance – Kerala”. ( here in after called CGG-K)
2. **Definitions:-**
  - (1) In these Bye-Laws, unless the context otherwise requires, -
    - a) “Act” means the Travancore Cochin Literary, Scientific & Charitable Societies Registration Act, 1955;
    - b) CGG-K means the Centre for Good Governance-Kerala.
    - c) “Governing Council” means the governing body set up by the Government for CGGK.
    - d) “Government” means the Government of Kerala in the Personnel & Administrative Reforms Department.
    - e) “Steering Committee” means Sub-Committee of the CGG-K set up by the Government of Kerala in the Personnel & Administrative Reforms Department.
  - (2) Words or expressions occurring in the bye-laws and not defined in clause (1) shall bear the same meaning as in the Act.
3. **Membership :-** The Society shall have two types of members as noted below:
  - a) The primary members who resolve to constitute the Society as per order of the Government.
  - b) In addition, the Society shall be at liberty to include or co-opt other officers or experts as members for implementation of the desired activities.
  - c) Members of the Committee shall be appointed at a meeting of the Society by a resolution of majority of the members present and entitled to vote.  
Members of the Committee shall be appointed at a meeting of the Society by a resolution of majority of the members present and entitled to vote.
  - d) Term of office of the members of the committee shall not exceed ..... years from the date of their appointment.
  - e) Members of the Committee shall be eligible for re-appointment.

## Chapter-II

### Authorities of the Society

#### 4. Authorities of the Society:- Authorities of the Society shall be :-

- (a) General Body
- (b) Governing Council
- (c) Steering Committee

## Chapter -III

### General Body of the Society

#### 5. Composition of the General Body:-

SL.No.	Name	Designation
1.	Chief Minister	Chairperson
2.	Minister for Finance	Member
3.	Vice Chairman of the State Planning Board	Member
4.	Chief Secretary	Member
5.	All Government Secretaries	Members
6.	Director CGG-K	Member Secretary
7.	Head Department. of Public Administration, Kerala University	Member
8.	Head of IIM-K, Kozhikkode	Member
9.	Head of IIT, Palakkad	Member
10.	Head of IIST, Thiruvananthapuram	Member
11.	Director, IIITM-K	Member
12.	Director General, IMG	Member
13.	Director General, KILA	Member
14.	Chairman, CMD	Member
15.	Eminent person from Private Sector	Member
16.	Eminent person from Academia	Member
17.	Eminent person from Civil Society	Member
18.	State Informatics Officer, NIC	Member
19.	Director, IT mission	Member

**6. Term of office of the members :-**

The term of office of members of the Committee shall not exceed ..... years from the date of their appointment. They shall be eligible for re-appointment.

**7. Resignation of Members :-**

- (1) Primary members may resign in writing addressed to the Chairman of the Society.
- (2) Members included or Co-opted as per clause (b) of bye-law 3 may resign in writing addressed to the Chairman of the Society and after acceptance of the same by her/him.

**8. Removal of member :-**

Any member who remains absent continuously in meetings of the society without valid reason may be removed from the membership of the society, after the Chairman being satisfied.

**9. Power, Functions and Duties of the General Body:-**

General Body will be the supreme body of the society and its composition shall be as in bye-law 5. It shall oversee the following functions of the Society and exercise general superintendence and control ;

- (a) Consider and adopt the audited annual financial statements of the Society;
- (b) Consider and approve the annual budget of the society for the following Financial Year;
- (c) Consider and approve the Annual Report of the Society;
- (d) Consider and approve the amendments in the regulations as proposed by the Governing council. The resolution should be passed by 2/3rd majority vote or consensus and should be confirmed by 2/3rd majority vote in a second special meeting called within one month of the previous meeting as per the provisions of the Act;
- (e) Dissolve the Society and dispose the property in its ownership in accordance with Section 24 of the Act, provided that such resolution shall be considered at a specially convened meeting presided by the Chairman, voted in favour by 2/3rd of the members of the Society, or by consensus and approved by the State Government.
- (f) Review the progress and performance of the Society.
- (g) Give policy direction to the Governing Council.
- (h) Consider and approve any other matter referred by the Governing Council.



## **10. Meetings of the General Body and the Annual General Meeting:-**

### **1) Meeting of the General Body:-**

The Member Secretary shall call meeting of the General Body with the permission of the Chairman for such agenda as may be approved by the Chairman.

### **2) Annual General Meeting (AGM): -**

(a) Notice:- The Member Secretary shall call the AGM within two months from the end of the financial year giving at least 15 days notice to all members before the day of the meeting. The notice shall contain the place, date, time and agenda of the meeting.

(b) Agenda : - The Business to be transacted at the annual general meeting shall be:-

- i. Confirm recordings of the minute of the last AGM and the special general meeting, if any;
- ii. Adopt with or without modification the report of the working of the Society for the previous year;
- iii. Consider the audited accounts of the Society for the previous year end;
- iv. Appoint qualified auditors;
- v. Transact business as may be fixed by the General Body;
- vi. Transact other business as may be brought forward by giving fourteen days previous notice from any member;

(c) Quorum of the meeting:- ..... members shall constitute the quorum of the meeting.

(d) Manner and Method of voting:- Chairman of the meeting shall decide the manner and method of voting at the outset of the meeting.

**3) Special General Body Meeting:-** Chairman of the General Body may convene Special General Meeting to consider any matter of special importance or urgency, on her/his own or on written request of not less than one third members of the Society, specifying the purpose for which the meeting is proposed to be called with prior notice. In case of the requisition by the specified number of members, the meeting shall be convened within one month from the date of receipt of requisition.

## Chapter-IV

### Governing Council of CGG-K

#### 11. Composition of the Governing Council :-

The Governing Council will consist of the following members ;

Sl.No.	Address	Designation
1.	Chief Minister	Chairperson
2.	Finance Minister	Member
3.	Vice Chairman, State Planning Board	Member
4.	Chief Secretary to Government	Member
5.	All Secretaries to Government	Members
6.	Director General, CGG	Member
7.	Director General, IMG	Member
8.	Director General, KILA	Member
9.	Chairman, CMD	Member

#### 12. Rights, Powers and Duties of the Governing Council:-

- (1) It is responsible for providing overall guidance to CGG-K.
- (2) It shall have close relations with all government departments and organizations.
- (3) The following activities have to be adopted;
  - a) State Government's governance reforms.
  - b) Handling projects focusing on citizen satisfaction.
  - c) Better service delivery based on competency framework.
  - d) Promotion of e-governance and m-governance initiatives and its research.
  - e) Government process re-engineering.
  - f) Conduct assessment of governance gaps.
  - g) Corruption free administration.
  - h) Identification of unreached sections in society and facilitate their development.
  - i) Policy research and assisting government in policy making.



- j) Impact assessment of policies.
  - k) Keep robust relations with apex training institutions, State Planning Board etc.
  - l) Work with Government departments to implement governance reforms.
  - m) Act as a think tank to foster growth-oriented and people-centric governance.
  - n) To create a repository of best practices and tools in governance reforms-including e-governance.
  - o) Asset management and advice on optimum utilisation of government infrastructure.
  - p) Support change management programmes in government.
  - q) Provide consultancy service to promote good governance.
  - r) Unique Institution with a blend of knowledge, research and action.
  - s) Custodian and controller of master data framework.
- (4) It shall coordinate, manage and monitor the receipt and utilisation of financial support received from Government of Kerala/Government of India;
- (5). Create awareness about reforms for the benefit of masses;
- (6) All property of the Society, movable, immovable or of any other kind shall vest with in Governing Council. It shall be responsible for safe custody of the funds, movable and immovable properties and assets of the Society;
- (7) The business and affairs of the Society shall be carried on and managed by the Governing Council;
- (8) Open, maintain and operate bank accounts for the Society;
- (9) Appoint auditors of the Society subject to ratification of General Body;
- (10) Prepare annual audit of the accounts of the Society;
- (11) Prepare, adopt and approve the annual reports, financial statement of accounts, financial estimates and budget of the Society;
- (12) Prepare and execute detailed plan, programmes and proposals for the establishment and development of the Society and carrying on its administration and management;
- (13) Prepare annual plan and supplementary plan, if any, for CGG-K;
- (14) Sanction and make expenditures and allot funds out of the Society funds;
- (15) Ensure end-to-end implementation of the activities without time/cost overrun;
- (16) Provide commitment and support to process changes;



- (17) Work closely with the government to prepare roadmap and design for activities;
- (18) Purchase material, equipments and other things and articles as may be necessary for the the Society;
- (19) Submit reports to the General Body;
- (20) Exercise administrative control and discipline over the employees of the Society;
- (21) Enter into agreement for and on behalf of the Society;
- (22) Be sue and sued and defend all legal proceeding on behalf of the Society;
- (23) Make, sign and execute all documents/ instruments for carrying on management of the property / affairs of the Society;
- (24) Form Committees for technical and administrative issues;
- (25) Enter into agreement, contract, partnership or any other arrangement with other public or private organizations or individuals for furtherance of the objectives of the Society in accordance with rules/guidelines of the Society;
- (26) Prepare the balance sheet and audited accounts of the Society;
- (27) Prepare the annual report of the Society;
- (28) Co-ordinate between different departments and other institutions and non -governmental organizations to achieve the objectives of the Society;
- (29) Recommend amendment to the regulations to be adopted by the General Body;
- (30) Perform such other functions as may be necessary to achieve the objectives of the Society;
- (31) Prepare agenda for the general body meeting and prepare minutes of General Body meeting.

### **13. Meetings of the Governing Council :-**

- (1) Meetings of the Governing Council :- Subject to provisions of the Act, the Governing Council shall meet at least once every six month or as may be necessary. The Member Secretary of the Governing Body in consultation with the Chairman of the Governing Council shall convene the meeting with necessary agenda by giving a notice of not less than fifteen days time.
- (2) Notice of Meeting of Governing Council:\_ Every meeting of the Governing Council shall be convened by notice issued under the hand of the Member Secretary. Every notice calling for the meeting of the Governing Council shall be issued to every member not less than fifteen days before the day fixed for the meeting except in the case of special meetings where notice shall be issued three days before the day fixed for the meeting.



- (3) Quorum for Meeting of Governing Council:- One third of the members including the Chairman present in person shall constitute the quorum for any meeting of the governing council provided that if meeting is once adjourned for want of quorum, a subsequent meeting called on the basis of the same agenda shall not require a quorum provided the Chairman and the Member Secretary attend the meeting.
- (4) Presiding Officer for Governing council:- Chief Minister as Chairman of the Society and as Chairman of the Governing Council shall ordinarily preside over all meetings of the Governing Council. In her/his absence, meeting will be presided over by the Minister, Finance;
- (5) Voting in Governing Council Meeting:- In case of difference of opinion amongst the members on any matter under discussion in a meeting, opinion of the majority present shall prevail.

## CHAPTER –V

### Steering Committee(s) of CGG-K

#### 14. Steering Committee :-

- (1) The Society will have (a) Steering Committee and (b) other such Committee as decided by the General body of the CGG-K.
- (2) The Steering Committee shall consist of the following members, namely:

Sl.No.	Name	Designation
1.	Vice Chairman, State Planning Board.	Chairman
2.	Chief Secretary	Member
3.	Finance Secretary	Member
4.	Secretary, I.T	Member
5.	Secretary, P & ARD	Member
6.	Director General CGG-K	Member
7.	Director General, IMG	Member
8.	Director General, KILA	Member

- (1) The Steering Committee shall exercise such power, perform such functions and discharge such duties as may be assigned to it by the Society.

- (2) Subject to general and specific conditions as mentioned by the General Body of the Society, the Steering Committee shall perform such functions to achieve objectives of the CGG-K.

**15. Meeting of the Steering Committee:-**

- (1) The Convener shall convene the meeting of Steering Committee and record the deliberation in resolution book.
- (2) Notwithstanding anything contained in the Bye-Law, the Steering Committee shall under general supervision and guidance of the chairman of the Steering Committee-
- (a) Prepare the list of business to be transacted and convene the meeting of Steering Committee after due notice to be served before fifteen days for ordinary meeting and before three days for urgent meeting to all members of Steering Committee;
- (b) Shall cause to record attendance and resolution of the meeting with due signature;

CHAPTER- VI

**Functions of Office Bearers**

**16. Functions of Office Bearers:-**

Functions and the powers of the office bearers shall be as follows:-

**(1) Chairman :-**

- (a) The Chairman shall, wherever present, preside over the General Body and Governing Council meetings.
- (b) Coordinate the functioning of members of the Society.
- (c) Exercise the casting vote in case the voters for and against a particular issue are equal.
- (d) Direct the Member Secretary to call a special meeting of General Body and Governing Council at the short notice in case of emergency.
- (e) Chairman shall be the sole and absolute authority to judge the validity of the votes cast by members at all General Body meetings.

**(2) Director General :-**

- (a) The Director General shall be the Chief Executive Officer of the Society and all executive functions of the CGG-K shall be authenticated by her/him.
- (b) Responsible for the day to day management of the affairs of the CGG-K subject to decisions of Governing Council and General Body within overall framework of Government Orders issued, from time to time.



- (c) Responsible for the management of staff of the CGG-K. He shall exercise control and discipline over the employees of the CGG-K.
- (d) Jointly operate Bank Account either with Chairperson or the ex-officio Member nominated by the Chairperson.
- (e) Maintain proper books of accounts for the funds received and expended by the Society.
- (f) Receive funds on behalf of CGG-K.
- (g) Arrange for the audit of the accounts of the CGG by the auditors appointed by the General Body of the CGG.
- (h) Convene the meetings of the General Body and Governing Council. She/He shall prepare the agenda for the meetings for the circulation to members concerned.
- (i) Maintain minute books of the meetings. The approved minutes of the meetings shall be circulated by her/him.
- (j) Sign all Deeds and Documents on behalf of the CGG-K according to the directions of the General Body or the Governing Council.
- (k) Present report of the Governing Council and the General Body meetings of the Society.
- (l) Be sue and sued and defend the Society in all legal proceedings.
- (m) Sign and seal documents or proceedings requiring authentication by the Society.
- (n) Responsible for the execution of all policies and decisions adopted in different meetings.
- (o) Ensure compliance of statutory requirements.
- (p) Do all such other lawful acts as may be necessary to achieve objectives of CGG-K.
- (q) Discharge such other functions as may be specifically delegated to her/him by the Chairman.
- (r) Delegate all or any of his functions referred in sub-clauses (c) to (k) to any officer of the CGG-K with the previous approval of the Chairman.

## CHAPTER-VII

### Establishment of CGG-K

#### 17. Establishment of CGG-K

- (1) The Director General of the CGG-K upon the resolution of General Body, may, propose to the Chairman of the Society for requisition of service of staff, premise and instrument of Local Bodies and Government, as should be required for conduct of smooth function of the CGG-K. Upon such proposal and recommendation of the Director General of the CGG-K, the Chairman, subject to specific and general rule as contained therein and general prudence may place the service of staff and officers, premises and instruments as would be required for conduct of functioning of the CGG-K.
- (2) In case of any inadequacy of service of staff so requisitioned or gross negligence or indulgence of corruption, the Director General subject to approval of the CGG may recommend for de-requisition of service of any staff to the Chairman, showing the reasons, thereof. The Chairman upon the recommendation of the Director General shall take appropriate action as per law.
- (3) The Director General, subject to approval of Chairman, may hire the service of any private skilled/unskilled worker for specific duties at approved rate and also can hire instruments/premise for smooth conduct of function of the CGG-K.
- (4) The Director General shall bear the administrative expenditure out of budget provision.

## CHAPTER- VIII

### Funds of the CGG\_K

18. Funds of the CGG-K: - Initial seed money of -----would be provided for the smooth establishment and functioning of the CGG-K State Government.

## CHAPTER – IX

### Accounts of the CGG-K

#### 19. Accounts of the CGG-K:-

The CGG-K shall constitute a fund bearing the name “Centre for good Governance Fund”. Funds of the CGG-K shall be deposited in a Bank. The account shall be jointly operated by the Ex-officio Member nominated by Chairman and the Director General of the Society.



**20. Financial Year:-** The accounting year for the CGG-K will be from the 1st April to the 31st March. The income and expenditure accounts and Balance Sheet of the Society shall be presented at the annual meeting of the General Body within five months of the close of the accounting year, duly audited by the competent auditor, nominated by the General Body.

**21. Property and funds of CGG-K :-**

- (1) The CGG-K shall have power to acquire, hold and dispose property and enter into contract provided that in all cases of acquisition or disposal of immovable property, the CGG-K shall obtain the previous approval of State Government.
- (2) The CGG-K shall have power to impose and collect service charge, application fee, etc. subject to the approval of the Government.
- (3) The CGG-K shall set apart and apply annually such sum as may be required to meet the cost of its own administration and incidental expenditure for organizing programmes, etc.
- (4) The CGG-K shall have the power to spend such sum as it thinks fit for organizing programmes, etc. within its budgetary allocation.
- (5) The CGG-K shall at such time and in such manner as may be prescribed cause it to prepare by Governing Council in each year a budget of its estimated receipts and disbursements for the following year and get approval in its general body meeting.
- (6) No Expenditure shall be incurred unless the budget is approved.
- (7) The CGG-K upon the recommendation of the Governing Council may approve the supplementary budget in specially convened meeting.

**22. Keeping of Accounts and its Inspection :** The Governing Council shall arrange for the proper maintenance of accounts with respect to:

- a. All sums of money received and spent by CGG-K
- b. All Sales and Purchases of goods by the CGG-K and
- c. The Assets and Liabilities of the CGG-K

The books of accounts and other statutory books shall be kept at the registered office and shall be opened to inspections by the members at time and place as the General Body directs on a written request made by any member. Similarly, minutes of the meeting of the Society would be made available for inspection by its members during office hours.

**23. Audit of Accounts:-**

An approved Audit Firm shall be appointed as Auditor of the CGG-K at the annual general meeting of the General Body to audit the accounts of the CGG-K for the ensuing year. The

Auditor of the CGG-K shall have access to the books of accounts and vouchers of the CGG-K and shall be entitled to have such information and explanation, as he may think necessary for the performance of his duties as Auditor. The report of the auditor duly adopted in the annual general meeting of the General Body, shall be filed with the Registrar of Societies, Kerala along with other returns as required under section 13 of the Act.

## CHAPTER- X

### **Voluntary Disclosure Under Right to Information Act, 2005**

#### **24. .Voluntary Disclosure Under Right to Information Act, 2005:-**

The CGG shall disclose voluntarily all such information required to be done so under section 4 of the Right to Information Act, 2005 to ensure functioning of the CGG-K in transparent and accountable manner.

## CHAPTER -XI

### **Amendments and Alternations of Memorandum and Bye-Laws**

- 25.** Amendments and Alternations of Memorandum and Bye-Laws, Amendment and alternations of Memorandum, and Bye-Laws will be carried on in accordance with the procedure laid down in the Act. The memorandum and Bye-Laws may be altered, modified, rescinded or added to by special resolutions passed in the Meeting of the General Body called for the purpose by three-fourth majority of the members present at such meeting

## CHAPTER –XIII

### **Dissolution of CGG-K**

#### **26 Dissolution of CGG-K:-**

Subjects to the provisions of section 23 & 24 of the Act and any statutory modification thereof and as per direction of the Government. The CGG-K may be dissolved by a resolution to that effect passed by three-fourth of the members of the CGG-K present at the meeting of the General Body. The Said meeting shall also decide the manner of disbursement of the funds and assets of the Centre for Good Governance – Kerala



## ANNEXURE

### Memorandum of Association of Centre for Good Governance Kerala.

1. The name of the society shall be called the Centre for Good Governance, Kerala (hereinafter called as "CGG-K")
2. The registered office of the CGG-K shall be situated at Thiruvananthapuram.
3. The CGG-K has been formed on the date.....
4. The registrar of the district within whose jurisdiction of the office of the Society (CGG-K) is situated at .....
5. The Objects for which CGG-K is established are

- a.
- b.
- c.
- d.

6. The names, Addresses and Designations of the members of the General Body of the Centre for Good Governance- Kerala.

Sl.No.	Name	Address	Designation
1			
2			
3			
4			
5			
6			



7			
8			
9			
10			
11			
12			
13			
14			

7. We the following persons whose names, addresses and occupation are hereinto subscribed are desirous of being formed into an association, namely, Centre for Good Governance-Kerala. Under the Travancore Cochin Literary, Scientific & Charitable Societies Registration Act, 1955:-

Sl.No.	Name	Address	Status in the CGG	Occupation	Signature

8. Witness to the above signatures:

**Signature :**

**Address :**

**Occupation**

**Dated the :**



**Abstract of government staff coming under various departments are as under:**

Sl No.	Department Name	Staff Strength
1	JUDICIAL SERVICES DEPARTMENT	12291
2	AGRICULTURE DEPARTMENT.	9292
3	ANIMAL HUSBANDARY DEPARTMENT.	7052
4	ARCHAEOLOGY DEPARTMENT	220
5	ARCHIVES DEPARTMENT	129
6	LAND BOARD	23
7	SURVEY AND LAND RECORDS	3664
8	SPORTS AND YOUTH SERVICES DEPARTMENT.	61
9	CIVIL SUPPLIES DEPARTMENT.	1872
10	CO-OPERATION DEPARTMENT.	3742
11	COIR DEVELOPMENT DEPARTMENT.	328
12	COMMERCIAL TAXES.	4732
13	CULTURAL DIRECTORATE	18
14	CULTURE DEPARTMENT.	14
15	DAIRY DEVELOPMENT DEPARTMENT	1059
16	LAND REVENUE	15796
17	ECONOMICS AND STATISTICS DEPARTMENT	775
18	VOCATIONAL HIGHER SECONDARY	6263
19	ELECTION DEPARTMENT	214
20	ELECTRICAL INSPECTORATE	431
21	NATIONAL EMPLOYMENT SERVICE	1129
22	STATE EXCISE	5163
23	STATE CENTRAL LIBRARY	83
24	FACTORIES AND BOILERS DEPARTMENT	272

25	HEALTH SERVICES DEPARTMENT	35965
26	FIRE AND RESCUE SERVICES DEPARTMENT	4737
27	FISHERIES DEPARTMENT	1013
28	FOREST DEPARTMENT	5338
29	GOVERNOR'S SECRETARIAT	157
30	HANDLOOMS AND TEXTILES DEPARTMENT	175
31	HARBOUR ENGINEERING DEPARTMENT	542
32	HOUSING DEPARTMENT	29
33	ENQUIRY COMMISSIONER AND SPECIAL JUDGE	81
34	INDUSTRIES AND COMMERCE DEPARTMENT	1228
35	INSURANCE MEDICAL SERVICES DEPARTMENT.	2797
36	WATER RESOURCES DEPARTMENT	4019
37	JAILS DEPARTMENT	1905
38	LOCAL SELF GOVERNMENT ENGINEERING WING DEPARTMENT	5106
39	LABOUR COURT	40
40	LABOUR DEPARTMENT	899
41	INDUSTRIAL TRIBUNAL	71
42	LEGAL METROLOGY DEPARTMENT.	512
43	LEGISLATURE SECRETARIAT.	1138
44	STATE AUDIT DEPARTMENT	1143
45	LOTTERIES DEPARTMENT	445
46	MEDICAL EDUCATION DEPARTMENT.	13849
47	MINING AND GEOLOGY DEPARTMENT.	249
48	MOTOR VEHICLES DEPARTMENT.	2312
49	MUSEUMS AND ZOOS DEPARTMENT.	323
50	NATIONAL CADET CORPS.	1055
51	URBAN AFFAIRS	232
52	INDUSTRIAL TRAINING DEPARTMENT	3412



53	PANCHAYAT DEPARTMENT.	1107
54	POLICE DEPARTMENT	56607
55	PORT DEPARTMENT	529
56	PRINTING DEPARTMENT.	2045
57	PUBLIC RELATIONS DEPARTMENT	258
58	PUBLIC SERVICE COMMISSION	1640
59	PUBLIC WORKS DEPARTMENT.	8358
60	REGISTRATION DEPARTMENT.	2925
61	RURAL DEVELOPMENT DEPARTMENT.	4913
62	SAINIK WELFARE DEPARTMENT.	1751
63	SCHEDULED CASTE DEVELOPMENT DEPARTMENT.	1751
64	SCHEDULED TRIBES DEVELOPMENT DEPARTMENT.	1067
65	OFFICIAL LANGUAGE (LEGISLATIVE) COMMISSION	41
66	VIGILANCE TRIBUNAL	29
67	THE KERALA LOK AYUKTA	88
68	GOVERNMENT SECRETARIAT	4680
69	SOCIAL JUSTICE DEPARTMENT	1014
70	STATE INSURANCE DEPARTMENT	310
71	STATE PLANNING BOARD	429
72	STATE WATER TRANSPORT DEPARTMENT	1138
73	STATIONERY DEPARTMENT.	239
74	TOURISM DEPARTMENT	877
75	TOWN & COUNTRY PLANNING	553
76	TREASURIES DEPARTMENT.	3482
77	VIGILANCE DEPARTMENT.	565
78	DIRECTORATE OF HEALTH SERVICES	286
79	COMMISSIONERATE OF ENTRANCE EXAMINATIONS.	45

**Total:**

## **Brief Account of Visits to some Prominent Training Institutions in Kerala and Other States.**

### **Institute of Management in Government (IMG)**

IMG is an autonomous institution under government of Kerala. It is designated as the Apex Training Institute (ATI) for the State of Kerala. To create awareness of the potentialities of modern management science as a major instrument for the development of the economic and social activities of government, to develop managerial skills, organisational capacity, leadership and decision making ability, development planning and efficient implementation to carry on research, operational and policy, to evolve ideas and concepts appropriate to the nation and formulate policy alternatives are the prime objectives of IMG.

The institute is head quartered at State capital. It has two regional centres, one in Kochi and other in Kozhikkode to cater to regional training requirements. The institute houses sufficient number of class rooms, hostel facilities, well established computer centre, air conditioned auditoriums and seminar halls. The institute is equipped with modern teaching aids and library which are made use of in training. Mandate of this institution is to develop detailed training plans for various government departments, networking of training institutions and provision of faculty to various other institutes.

### **Kerala Institute of Local Administration (KILA)**

KILA is synonymous with decentralization and local governance. It aims to address the emerging issues of decentralized governance. KILA has been engaged in the capacity development activities for local governments in Kerala since its establishment in 1990 at Thrissur. KILA was established in the pattern of a national institute with the main objective of training, research and consultancy in decentralized governance and administration. This institution is a registered charitable society. Up to 2016 the State Institute of Rural Development (SIRD), Kottarakkara , Extension Training Centres at Thalipparampu, Mannuthy, Kottarakkara and AHADS, Agaly were functioning as separate institutions. Now these institutions have been merged with KILA and functioning as excellent campuses of KILA.

As a Government of Kerala supported nodal agency for training, research and consultancy, KILA is committed to undertake various training programmes for the elected representatives and officials of LSGIs, action research, formulation of policy etc.

KILA has sufficient number of lecture halls, hostel facilities, well established computer centres, Smart class rooms, air conditioned conference and seminar halls, auditoriums,

GIS lab, Libraries, guest houses etc. A well equipped virtual class room with four trainer's nodes and 24 trainee nodes is a notable training facility with KILA Kottarakkara Campus.

### **Institute Of Human Resource Development**

IHRD was established in 1987 by the Government of Kerala, under Act, XII of 9155 for the registration of Literary, Scientific and charitable societies. At present IHRD is managing 86 educational Institutions all over Kerala, including 9 Engineering colleges, 44 Applied Science Colleges, 8 Polytechnic Colleges, 15 Technical higher secondary schools and 10 units of Regional/Study/Extension centres & Model Finishing Schools. The main objective of the institution is to provide quality education right from the school level to doctoral level at affordable rates for the student community and to make these Institutions as a centre of excellence in their field of operation. IHRD also aims to become a front runner to impart special type of training targeted to students, staff of Govt. Depts./Institutions, women & weaker sections based on their specific requirements.

IHRD is managed by a Governing body and an Executive committee with Hon'ble Minister for Education, Kerala State, as Chairman. The other ex-officio members include the Chief Secretary, Principal Secretary (Higher Education), Director/Chairman/Secretary of various Govt. Depts. etc. The Administrative Dept. of IHRD is the Higher Education Dept., Government of Kerala. Apart from conducting intended courses at Engineering, Graduate, PG & Doctoral level of Universities, Diploma and Plus two level courses, with an emphasis on subjects like Electronics, Bio-medical and Computer Science, IT etc. these Institutions are also engaged in various training activities as per the demand and requirements. IHRD Institutions has also undertaken various training programmes. IHRD has a good team of qualified and experienced faculty to undertake and conduct training programmes as per requirement at various levels.

IHRD Institutions have sufficient class rooms, computer/electronics lab facility and smart class rooms for conducting modern training programmes. 86 IHRD institutions spread all over Kerala including rural area provides best opportunity to organize state wide training programmes for any agency in all 14 districts. IHRD also offers to conduct residential training programmes utilizing available hostel facility or locally hired accommodation as per demand. There are 476 permanent faculties engaged at present in 86 IHRD Institutions and 150 technical support staff to assist lab sessions.

### **Indian Institute of Information Technology and Management- Kerala (IIITM-K)**

This Institute was aimed as an advanced centre of learning on the lines of the IITs and IIMs and shall offer a range of academic and non-academic programmes, such as, Masters programmes in current Information Technologies, short-term professional courses, incubator programmes to foster IT Entrepreneurs and Management of an Accreditation programme to standardize IT training. IIITMK was formed in 2000 to realize this vision. Its





education and training programmes also provide the base for several advanced developments in applying IT for the states development, science and technology and in socially important areas like Data engineering, embedded systems, cloud computing, geo-informatics, medical image computing & Education in general. The institute is a national leader in the applications of IT to the social sector.

Institute has four specialized M.Sc and two M.Phil programmes and one PGDIT programme. MSc and M Phil programmes are affiliated to Cochin University of Science and Technology. PG Diploma in e-Governance is awarded by Directorate of Technical Education. Institute has high quality faculty with PhD degree drawn from IITs, IIMs and other leading Universities in India. Most of them have academic/research experience in major foreign universities. Other than its academic programmes, Institute is also actively involved in various projects sponsored by the Government of India, Government of Kerala and corporate sector.

Core area of training in IIITM-K are Cyber Security, e-Governance, Social Media Optimization, Geospatial Technology, Open source GIS, Remote Sensing, Spatial Data modeling and analysis using R, Web and Mobile GIS, Geo-statistics, Malayalam Computing, Machine Learning solutions for Government. The Institute is currently functioning from Technopark. It has 3500 sq.ft built up space in one acre of land. Government of Kerala has allotted 10.33 acres of land at Techno-city to set up a full-fledged residential campus for the Institute. Once the campus is ready, students and researchers will have learner-centric environment, facilitated by state-of-the-art infrastructure in cutting-edge areas in fast paced technology domains. The Institute has currently 12 regular faculty and two technical staff.

### **Kerala Engineering Research Institute, Peechi**

The Kerala Engineering Research Institute (KERI), Peechi, is one of the pioneering research institutions of its kind in our Country. It plays a vital part in fundamental and applied research studies in the field of Civil Engineering. Pandit Jawaharlal Nehru, the first Prime Minister of independent India laid foundation stone to the Institute in 1958. The Institute was inaugurated on 13th June 1960.

KERI headed by Director in the rank of Superintending Engineer with two divisions functioning at Peechi ( Construction Materials and Foundation Engineering Division and Hydraulic Research Division) and another Division namely Coastal Engineering Field Studies Division at Thrissur each headed by Joint Directors in the rank of Executive Engineer. In addition to the above the Quality Control Divisions are functioning at Thrissur and Kottarakkara. The Institute is under the Chief Engineer, Investigation and Design (IDRB), Thiruvananthapuram.

The Institute has well-equipped materials testing and geotechnical engineering laboratories which conducts various tests for the clients. Institute has a rich history of



consultancy services and model studies for Irrigation as well as other Government Department like Port, Harbor, KSEB etc. The institute is capable of giving practical training on all Civil Engineering problems by utilising the above in-house facilities and also using the modern equipment like Integrated Bathymetric system for assessing sedimentation and reservoir capacity in Dam Reservoir, Tomography and Seismography for assessing the Dam strength and structural characteristics, Non Destructive testing of beams and other like structures etc.

The target group is mainly the in-service Engineers and budding Engineers and Technician. The classes are being handled by experienced engineers of KERI and also eminent engineers from reputed Institutions. Trainees are mainly Engineers of Irrigation department and other Government departments.

The Institute is located in the Irrigation land (about 125 acres). The infrastructure facilities available are very old and are in dangerous condition. (Constructed during 1960s). The administrative office is now functioning in a temporary building because the old building has been disposed off on warning from the concerned authority. Labs are still functioning in another old building. The Government has declared and promised a permanent building for the administrative block and its laboratory during the golden jubilee function on 2012, but the same has not been materialized.

One seminar hall along with the laboratory is available with this Institute which can accommodate 25 persons for training. Hostel facilities are not available with this Institute which can accommodate 25 persons for training. KERI being a part of Irrigation department, no permanent faculty is available as Trainers. But the training sessions are handled by the serving senior Engineers.

### **Kerala Fire & Rescue Service Academy**

Kerala Fire & Rescue Service Academy is the only official fire training institutions in Kerala. The Academy is situated near to Central Prison Viyyur, Thrissur having a land area of 8 Acres. It is functioning under the under the administrative control of Home Department in government. The head of the Academy is The Director General of Fire & Rescue Services.

The Academy is mandated to impart training to the staff members of the Fire & Rescue Service. They include Fireman, Driver Mechanic, Assistant Station Master, Station Managers and Station Officers. The Institute renders the following three levels of training

1. Class room Training (Indoor)
2. Practical Training (Outdoor)
3. Station Attachment (Field Placement)



The Curriculum involves Squad drill, Physical Training, Professional Techniques and Theory Papers. The Academy has facilities like Office building, Well Equipped Practical Room, Hostels, Family quarters, Parade Ground, Swimming Pool, Modern Fire & Rescue Equipments etc.

### **Institute of Land and disaster Management (ILDM)**

Institute of Land and Disaster Management (ILDM), the State Training Institute for the department of revenue and Disaster management is located in the serene 6.76 acres campus within the Thiruvananthapuram Corporation limits. The institute has been catering the training needs of officials from the Departments of revenue and Survey & Land Records since 1996, the year of its inception. The institute also caters the training needs of the general public and NGOs in addition to the officials, in the field of disaster management.

The Institute is located in Thirumala Village of Thiruvananthapuram district. The total built up area of the institute is 6945 sq. m. There are three air conditioned class rooms and a state of the art Smart Class Room for holding variety of in-campus training programmes . The institute also offers good hostel facilities for both male and female trainees and can accommodate 51 females and 118 male trainees at a time . There is also an Executive trainee Hostel with nine air conditioned rooms and semi-executive hostel with thirty six beds. Two computer labs, two conference halls and one dining hall are also housed in this institute. The campus is equipped with free Wifi and has good mobile coverage. The institute has a good library with wide range of books.

The Institute is mainly involved in training on land revenue administration and disaster management subjects. The research and development division of institute through its Centres carryout different training programmes aimed at bettering governance in Kerala.

### **Visits at various prominent Training Institutions in other States.**

#### **Administrative Staff College of India (ASCI)**

Capacity building and applied research assignments constitute the bedrock of the activities of ASCI. They have larger social benefits and public goods as the key cornerstones. ASCI integrates economic, social, cultural, financial, technological, regulatory, human, organisational and environmental aspects into its management training and action research initiatives for addressing issues of topical interest and current concern to the Government. With its focus on Policy, Strategic Management, Government, regulation and socio economic impact evaluation, ASCI brings knowledge inputs, informed advice, best practice and innovative ideas to bear on its training, policy, advocacy, advisory and implementation – assistance services. ASCI enjoys the trust and confidence of the Governments.

ASCI is one of the few academic institutions in India that finds its annual operating expenditure solely from Management Development Programmes (MDP) besides consultancy and research activities, without receiving any regular grants or assistance from the Central Government, State Governments in India or any other national and International organisations. ASCI functions in two campuses viz. Bella Vista campus (the main campus) in a 10 Acres land and Benjara Hills campus in a 40 Acres land. ASCI is the chosen advisory and research destination for about 100 International and national organisations year on year. Apart from several Ministries of the Government of India and Departments of State Governments, several bilateral and multi lateral institutions chose ASCI as their knowledge – partner for their applied research studies and action research projects. Various Centres functioning under ASCI provide assistance to the State Governments in developing policies for promoting an innovative culture for transforming creative ideas into sustainable practices at the local level.

#### **Centre for Good Governance (CGG) Hyderabad.**

The Centre for Good Governance (CGG) was established in 2001 in collaboration with the Department for international Development (DFID), UK to achieve the State's goal of Transforming Governance. The Chief Minister of the Telangana State is Chairman of Board of Governors of CGG and works with functional and financial independence. CGG undertakes action research, provides professional advice and conducts change management programmes for various state Governments, Government of India and international agencies, CGG works closely with policy makers like ministers, senior officials, management experts, institutions and other stakeholders, especially, for building people centric governance practices in India.

CGG undertakes complex, multi-sectoral assignments in multiple sectors, which calls for strong operational processes and innovative approaches. CGG has two divisions, namely Knowledge Division and e-Governance Division. E-Governance division plays key role in positioning CGG as a Centre of Excellence in Governance domain such as:

- Working on State Mission Mode Projects
- e-District, e-Treasuries, Police, Panchayat etc.
- Replication of projects/products/packages such as Aadhaar enabled attendance system, Online Bus Passes, Scholarships Management, recruitments, Financial Managements, Payroll, etc.
- Capacity Building Road map & Implementation
- By using Learning & Knowledge Management systems and competence based skill building (e-Governance Competency Framework-a gamut of competencies required)



- Conducting research in the area of e-Governance models and developing appropriate solutions useable in Gol & States.

The core competence of CGG lies on e-governance initiatives.

Knowledge division of CGG has different constituent management resource groups including Agricultural Management, Rural Management, Urban Management, Governance, Human Development, Organizational Development, Monitoring and Evaluation etc.

### **National Institute of Rural Development & Panchayati Raj (NIRD & PR)**

National Institute of Rural Development and Panchayati Raj continuously strives to serve the nation through training, research, and action research and consultancy activities for the development of the rural poor to enhance their quality of life. It is an autonomous Institution under the Union Ministry of Rural Development. It is a premier national Centre of excellence for rural Development and Panchayati Raj. It is recognized as one of the UNESCAP Centres of Excellence.

The faculty members of NIRD & PR consist of a large pool of highly qualified scholars with Doctoral degrees and with several years of experience in Rural Development training and Panchayati Raj, teaching, research and consultancy. The Institute is situated in an area of 174 acres of land with good infrastructure facilities.

The Institutes conducts National and International level training programmes. The Institute has mandate to help and build training capacities of its link institutions ie, State Institutes of Rural Development (SIRDs) and Extension Training Centres (ETCs). The Institute conducts several research studies aimed at studying policy implications and identification of alternative strategies for improving effectiveness of various programmes and schemes. NIRD&PR also provides consultancy support to various national and international organizations on different development themes relating to rural development.

As a part of extending support to the SIRDs, video conferencing facilities are being provided by NIRD&PR to all SIRDs in a phased manner. The NIRD&PR is networked with all the states. Schools & Centres of NIRD&PR are:

1. School of Development Studies of Social Justice.
2. School of Sustainable Development
3. School of Local Governance
4. School of Rural Livelihood
5. School of Public Policy and Good Governance.
6. School of Science & Technology and Knowledge System.

### **Centre for Innovations in Public Systems (CIPS) Hyderabad.**

The Centre for Innovations in Public systems was established as per the recommendation of the 13th Finance Commission. The task of CIPS is not only to foster innovation, but also to promote it zealously. The feeling of the CIPS is that a number of innovations existing in Government Sector need to be recognized, documented, promoted and shared amongst all state governments. These innovations are in a variety of sectors like health, education, tourism and natural resource management and are aimed at improving service delivery.

Ongoing projects of CIPS are:

- Impact Assessment study of the Digital Saksharata Abhiyan (DISHA) under National Digital Literacy Mission.
- Preparation of a draft Innovation Policy for setting up innovation Society for the Government of Andhra Pradesh in association with ASCI, Hyderabad.
- Documentation of the process on Andhra Pradesh State Reorganization.
- Training of Ophthalmic Assistants from Chattisgarh at LAICO, Aravind Eye Care, Madurai, Tamilnadu on establishment of Vision Centres.
- Setting up and Monitoring of Innovation Planning Monitoring Unit (IPMU) at SKIPA, Ranchi, Jharkhand
- Study of the staff deployment and the various activities associated with Shilparamam, Hyderabad, Govt. of Telangana.
- Preparation of Case study on Karnataka Tele-medicine project.
- Holding a workshop to suggest the road map for research on tribes to the Tribal Cultural Research and Training Mission, Tribal Welfare Department, Government of Andhra Pradesh, Vijayawada.
- Preparing a training module for the gramasabhas and functionaries for implementation of PESA.
- Preparing a training module for the functionaries working in tribal areas.
- Preparing training needs for Educational Institutions.

### **Yashwantrao Chavan Academy of Development Administration (YASHADA) PUNE.**

YASHADA is the Administrative Training Institute (ATI) of the government of Maharashtra. It meets the training needs of the government departments. YASHADA also cater to the needs of rural and urban non-officials and other stakeholders. It is a composite training institute having a dual role as an Administrative training Institute and a State Institute of Rural Development. As the apex training institute in Maharashtra, the composite



structure of the academy also includes various State-level institute and subject specific thematic centres of excellence. The faculty, officers and staff of the academy include a core team of officers on deputation and experts and advisors on tenure-based appointments. YASHADA in a typical year trains around 50000 persons through 1200 odd institutional and off-campus training courses.

There are well furnished classrooms, conference halls and seminar rooms equipped with comfortable seating arrangements and sophisticated audiovisual facilities. Facilities at Management Development Centre at YASHADA are worth mentioning. It has literally state-of-art training infrastructure. A conference hall with 60 seat round table arrangement; 5 classrooms; three multipurpose business lounge/syndicate/discussion rooms. All these are air conditioned with latest acoustics and audio visual systems. The centre also has 105 AC rooms deluxe suites. Every room is provided with computer, broadband connectivity and TV. Pantry service with banquet and dining hall cater to 150 guests. MDC library have 50000 books on different subjects. MDC cater to government as well as private clientele.

YASHADA auditorium has a seating capacity of 300. At the Development Administration Complex there are three more well equipped hostel blocks for trainees and trainers. Residential accommodation for faculty members and staff located within the campus is a specialty of this institute.

The academy is initiating long term contact and distance learning programmes in rural development, urban development and child labour in association with the University of Mumbai. The academy also handhold two year Masters Degree course in Development Administration for newly selected officers for Group B and above services as part of their induction in-service training which is mandatory.

YASHADA has financial support from government of Maharashtra and government of India. In addition the academy has its own revenue sources through consultancies and conducting of trainings for government and private clientele. Hence the academy is in a financially sound footing.

#### **Asia Plateau- Centre for Initiatives of Change (IofC), Panchgani.**

The aim of the centre is to equip people with the character and clarity, through honest personal transformation, to address the problems crises the world faces. The central philosophy of IofC is 'If we want to see problems solved in the world, people will need to become different'. IofC encourages each one to take an honest look at oneself and start with oneself the change that is needed in the society. Reflecting in silence or listening to the inner voice is at the centre of all IofC activities. This practice helps to reach conclusions and agreements based on 'what is right' rather than 'who is right'. Facilitators, interns,

volunteers and others at Asia Plateau try to create an atmosphere favourable for relaxed, unhurried reflection on important deeper issues in life- at work, in the family and society. The programmes at Asia Plateau are designed to build a strong national character and to understand and address the needs of the world. Regular workshops and seminars in lofC are the following:

- Ethics in Public Governance
- Heart of Effective Leadership
- Effective Living and Leadership
- Education Today Society Tomorrow
- Let's Make a Difference
- Lead for Change
- Programme for Indian Army's Institute of National Integration etc..

The participants are generally encouraged to come with their spouses at all the programmes.

The Centre has two major residential buildings and a main complex in its 68 Acre campus. A modern auditorium, two conference rooms, two spacious lounges, dining, kitchen and allied facilities are part of the main building.

lofC is not a training institute in strict sense of the term. Nor it is established by government. It is more like a social movement longing for bringing positive changes in the society. The centre has developed its own methodologies which have no equals. Not many institutions in India are having proven track record as that of lofC in experimenting attitudinal changes in persons in any walks of life. It is learnt that many states in India have already made use of the methodologies developed by lofC in training their civil servants for positive attitudinal changes.



## STATE TRAINING POLICY 2017

### 1. Background

- 1.1 The Kerala state Training policy (STP) came into force from 2004 per the recommendation of the Kerala administrative Reform committee Report of August 2000 through a set of operational guidelines for the development of human resources of the state Government. The Training policy of 2004 had laid down the road map for strengthening and streamlining capacity building of civil servants in the state
- 1.2 However there have been changes across the globe in terms of rapid economic growth, enhanced citizen participation, transparency and accountability, right based development, shift to e-governance and many more development in the field of governance. The civil service has to keep pace with the changes emanating from people driven demand for a more responsive, efficient, transparent, accountable and inclusive governance framework and has to be equipped with the requisite knowledge, skills and attitudes to perform and respond efficiently and effectively to meet those demands. The National Training policy 1996 was thus revised by the Government of India in January, 2012 with a recommendation that each state formulates or revises its existing STP to suit the current and future Human resource Management functions. Accordingly the new policy 2017 is adopted. The approach of the policy is to go beyond training to encompass capacity building of Training Institutes, faculty members and provisions of facilities and systems conducive for training and performance improvement

### 2. Vision and Mission

- 2.1 Training is a continuous obligation of the state government towards its employees. The objective in fulfilling this obligation would be to develop and maintain their efficiency and effectiveness and to facilitate pursuit of excellence in governance
- 2.2 The mission of STP shall be to ensure the development of life Long Learning based training and development strategies for all state Govt department and agencies which would transform each and every employee in government departments and government agencies and organizations into fully developed, duty conscious, ethical, development oriented, well behaved, competent and motivated members of work teams who are committed to the promotion of public welfare, especially of the marginalized group. The expected outcome is a public service system for the state, built on people-focused management that allows the greatest room for their participation in decision making, and one that is geared towards promoting continuous innovations as part of relentless pursuit of total quality in governance.



### 3. Training Objectives

The objectives of training are:

- ⦿ Match individuals' competencies with the jobs they have to do and bridge competency gaps for current and future roles with the aim to improve performance of individuals and organization
- ⦿ Expose the civil service to new trends in the socio-economic and political environment in which it operates
- ⦿ Update on reforms and initiatives in governance
- ⦿ Impart skills and attitude for re engineering of processes and e-governance
- ⦿ Build attitudes conducive to institutionalizing citizen centric, corrupt free and participatory governance.

Training programmes would ensure that civil servants acquire the requisite knowledge, skills and attitude to effectively perform the functions that are required for performing the job, bridging the gap between the expected and actual competency and resulting in improving the performance of civil servants and their organization leading to improved service delivery.

### 4. Training coverage

Training would be imparted to all rungs of the civil service across all Departments, starting from the cutting edge to the highest level in policy making.

For the purpose of appropriate training design, it may be convenient to divide the civil service into four levels, each with its specific training needs.

- The operative level at the cutting edge, where the focus would be on functional skill, attitudinal and supervision and soft skills so as to improve customer orientation would be given priority.
- The supervisory junior management level where focus is on motivating others to work, coordination and supervision, coaching, counselling skills, interpersonal skills and a role model function.
- The middle management/administration level concentrating on professional excellence, leadership and a clear understanding of departments related issues.
- The top levels of the civil service with emphasizing policy analysis, strategic and lateral



thinking and policy formulation. ( All promotes above the rank of Under Secretary / Assistant Director should invariably attend a training on Leadership and Governance'. The module would be developed and delivered by IMG in partnership with IIM-K).

### 5.Training frameworks

All civil servants shall be provided with training to equip them with the competencies, knowledge, skill and attitude for their current and future jobs to satisfy the reactive and proactive needs of the organization and employees such training will be imparted

- a) Induction training at the time of their entry into service. All new recruits shall undergo induction training and this would be made mandatory. Though the training modules and direction would vary from category, IMG, The Apex Training Institute of the state, is mandated to design specific modules of a generic nature which shall be adopted by the other training institutes.
- b) Mid career training / In-service training: at regular intervals during career progression at least once in five years to develop new competencies and update knowledge base of officers .
- c) Promotion linked training either before or after promotion would be made mandatory.
- d) Short duration courses on new policy matters and current affairs, strategic planning, lateral thinking for policy formulation for top levels of the civil service.
- e) Short duration exposure seminars as and when any major development in a sector takes place to orient members of the civil service on the relevant policy perspective adopted by Government
- f) Re- skilling wherever there is redeployment of employees.

### 6. Operational sing the Training Programmes

IMG and other institutions concerned would prepare a training plan covering official of every department for which they are responsible. As a general rule, every officer should get three general training during his/her career (other than induction training after promotion). Thematic short duration could be given every two years, in the event of capacity constraints, every three years. Before the beginning of every year, that is latest by march, proceedings should be issued by Heads of department indicating which officer would attend which training in accordance with training plans, in keeping with training calendar prepared by the institution.

Each department and each training institution should maintain detailed data base on all employees sent for training.

## 7. Training Network

A formal network of all training institutions would be set up with IMG as the nodal institution. Director General IMG would co-ordinate the activities of the network with the following objectives:-

1. Sharing infrastructure, facilities, staff and resource persons
2. Sharing course modules
3. Establishing networked libraries
4. Conduct of joint programmes
5. Joint identification of suitable infrastructure at district level which can be used for training local officials

## 8. Action research.

All the major training institution would mandatorily take up Action Research to develop field models and enable the faculty to learn by doing and imbibe practical development concepts.

## 9. Training Methodology

Training may be imparted by the training institutions at the workplace (on the job training) on a decentralised basis at District/ Sub District / cutting edge levels or by distance learning mode where training is taken to the trainees directly. All the training programmes would be developed in modular and graduating format that would be delivered from the start to the end of each career progression path with intermediate awarding of level certifications by adding the modules at different stages. The pedagogical tools would depend on the target group and efforts should be taken for making the sessions as possible with minimum lecturing. A holistic approach should be taken to use all modern methods of training such as group discussions, project work, audio visual aids, printed materials, computer based exercise, case studies, and action learning group based idea generation concepts. Documented best practices should be used for discussion. Besides classroom training exposure visits to relevant sites may be arranged for middle level and senior level officers for field level learning. There would be a provision for evaluation of each training and peer group appraisal. The supervisory officers of the trainee would submit a feedback after six months of training on acquisition of knowledge, skill and attitude. The feedback would be used to modify and improve subsequent training programs.

IMG would initiate action for transforming to e-learning mode starting from topics of a routine nature.



## 10. Competency Framework

The National Training Policy 2012 recommended that, it is essential to match individual's competencies with the jobs they have to do and bridge competency gaps for current and future roles through training. A fundamental principle of the competency framework is that each job should be broadly divided into those that core skills which civil servants would need to possess with different levels of proficiency for different functions or levels.

For moving to a competency based approach, it would be necessary to classify the district types of posts and to indicate the competencies required for performing work in such post. Once the competencies are laid down, an individual's development can be more objectively linked to the competencies needed for the current or future jobs. Career progression and placement need to be based on matching the individual's competencies to those required for a post. The state should have a training plan of each Department/Organization which address the gap between the existing and the required competencies and provide opportunities to the employees to develop their competencies.

The competency mapping for the administrative and general positions should be undertaken under the aegis of GAD using IMG's expertise and the entire exercise would be completed within a specific time frame.

## 11. Role Departments

Each Department and the respective Training Institute (TI) would adopt a Systematic Approach to Training and would ensure that no employee is over trained or under trained. The following would be the role of departments.

- a) Appoint a Training Manager who would be the nodal person for coordinating and implementing the training function of the department. The training manager should be an officer senior in rank and his/her tenure would be fixed for 2 to 3 years.
- b) Training Co-ordination Committee (TCC) at the Department levels need to be strengthened in all departments. The TCC would consist of HOD as the Chairman, 2 Senior Officers of the department and IMH faculty who would be an ex-officio member. It would develop the competency framework and the annual training plan, oversee and coordinate the training function of the Department.
- c) Classify all posts with clear job description and competencies required.
- d) Develop the annual cadre training plans based on the competencies required and training needs, for ensuring that all cadres in all offices have a clear articulated scheme for the development of their competencies.
- e) Link the training and development of competencies of individuals to their career progression by suitably amending service rules/issuing administrative instructions.

- f) Make the immediate supervisor responsible and accountable for the training of the staff working under him.
- g) Department would maintain a cadre-wise trainee data base of training.
- h) As a follow-up to the STP, a detailed action plan outlining the activities to be undertaken with respect of each department and timeframe in which it should be completed be drawn up so as to achieve the objectives of STP.
- i) Training for the middle and lower level employees would be decentralized (for better coverage and savings on travel related expenses) as far as possible while senior level programmes on policy matters and other aspects could be centralized
- j) The status of department training plan would be monitored and reviewed by the HOD every month.
- k) Departments shall take efforts for addressing the non training interventions required for improving service delivery as evolved from the TNA report in phased manner.
- l) Departments should initiate action for evaluating the impact of training at least once in 2 years.
- m) TCC would review the implementation of the annual training plan to assess
  - Utilization of the training capacity
  - Identify technical institutes of repute for affiliation and tie-ups both within the State and outside.
  - Quality of training conducted.
  - Adequacy of physical and training infrastructure, faculty, finance etc.
  - Training of officers at the cutting edge level.
  - Proper selection of faculty.
  - Develop a pool of domain experts (accredited trainers) within the Department.
  - Developing training materials and its updation.
  - Impact Assessment and follow up

## 12.Role of Training Institutes

Training Institutions lie at the heart of the training system. The quality and manner of their functioning has a direct impact on the actual delivery of training and transfer of learning to the trainees. Training Institutions would be



- I. Provided functional autonomy, the requisite staff, infrastructure and finances to perform their functions.
- II. Move to becoming models of excellence in the quality of the training they impact as learning organizations through a process of self-assessment and bench-marking.
- III. Assimilate technologies with a view to enabling learning anywhere, any time for their clients; develop e-learning modules on routine topics supplements their current programmes with distance and e-learning courses.
- IV. Conduct field studies and research as part of the process of becoming repositories of knowledge in the areas of their sectoral or functional specialisation (as applicable);
- V. Constantly review and modify their curricula, content and training methodologies to take account of training feedback and the needs of clients.
- VI. TIs would be modernized with smart classrooms and state of the art facilities.
- VII. Network with other institutions to share learning resources, experience and expertise.
- VIII. Facilitate the development of domain specific trainers and provide stability of tenure and opportunities for faculty development;
- IX. Put in place a rigorous system of evaluation of training programmes and assessment of their impact on individuals' performance over time.
- X. Taking up field studies/research studies should also be an important mandate of the training institute. A separate Research Wing should be developed in each training institute and the research can be taken up based on the domain area of the Institute.
- XI. There would be uniformity in the honorarium payable to resource persons across the State.

### 13. Role of IMG

IMG as the apex training institute of the State would coordinate the entire training activities and ensure that the Civil servants acquire the requisite, knowledge, skill and attitude to effectively perform their duties. To achieve this end, the IMG may co-ordinate and handhold the training activities of all TIs set up by the Government under various Departments. It would act as the think tank to the Government advice Government on policy matters and support in the execution of Government policies through capacity building, surveys and research. It would provide advisory and consultancy services and facilitate in Government Process Reengineering. IMG would associate with institutes of the repute like IIM, IIT, ASCI, NIRD, IIPA for senior level training programmes.

IMG would develop an accreditation process similar to the one followed by NISG and DoPT for accrediting resource persons in domain areas. A directory would be prepared and TIs

would use the services of these trainers as far as possible. IMG would also conduct certification of trainers.

For impact assessment a template would be developed and sent to the Training Manager/ Reporting Officer to assess whether the training has produced the desired impact.

IMG would develop and maintain a training portal-e-Group in which all the training institutes would be members. The Group should use this forum for regular interaction and sharing of resources. This forum should actively exchange information relating to training, materials, training calendar, resources and annual reports of the training institutes.

IMG shall play a key role in assisting Departments in the process of shifting to a Competency based framework and prepare an annual training plan for call cadres.

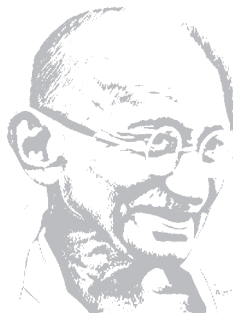
The Director General of IMG would also be the Secretary to Government (Training) which would ensure better monitoring and co-ordination of the implementation of STP and training related activities in the State.



## References

- 3rd Administrative Reforms Committee Report on Capacity Building.
- AD Gorwala Committee report on Public Administration (1951)
- Yugandhar Committee report to review In-service Training of IAS Officers (2003)
- Schematic Outline, Detailed implementation Plan & Service Delivery Project Documents of Modernising Government Programme.
- 2nd Administrative Reforms Commission Reports , Government of India.
- Central Civil Service (Conduct) Rules, 1964.
- Civil Service Competency Dictionary, Department of Personnel & Training, Government of India.
- Wikipedia, the free Encyclopedia
- Harvard- Competency Dictionary
- National Training Policy 2012
- Public Sector Ethics Act 1994, State Training Plan IMG.
- State Training Policy 2004, 2017.
- Service Delivery Policy 2004.
- All India Service (PAR) Rules, 2007
- Kerala Public Service Act, 1968
- Kerala State & Subordinate Service Rules, 1958.
- Kerala Civil Service (Classification, Control and Appeal) Rules, 1960
- GO (P) No. 344/66/PD dated 22.8.1966
- The Kerala Government Servants Conduct Rules, 1960.
- e.APAR –User Manual, Department of Personnel & Training, Government of India.
- Kerala Administrative Service (KAS) Rules, 2018 vide G.O (P) No. 12/2017/P&ARD dated 29.12.2017.
- Report of the Committee for studying the feasibility of creating State Civil Service.
- Course Manual IAS 2017
- State Training Plan 2017, Institute of Management in Government, Kerala.
- Kerala Budget Documents-2016





*"I will give you a talisman.  
whenever you are in doubt or when the  
self becomes too much with you,  
apply the following test.  
Recall the face of the poorest and the  
weakest man whom you may have seen,  
and ask yourself, if the step you  
contemplate is going to be of any use to him..."*

***Mahatma Gandhi***

